ETDs, IRs and Open Access: The case of small and medium size academic institutions

Sophie Bogdanski, Drinko Library, Marshall University
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Objective: This presentation focuses on some of the specific issues facing small and medium size institutions which are planning to introduce, having to maintain, or aiming to develop institutional repositories containing ETDs. It considers the potential difficulties facing these institutions and the ways in which they can take advantage of the opportunities open to them to ensure that their scholarly output is as accessible as that of larger research-oriented universities.

Methods: The presenters consider the results of recent studies including the findings of parallel surveys undertaken in the US and in the UK in 2007 and the JISC funded ‘EMBED’ project in the UK which concludes in 2009.

Results: The presentation provides an overview of a wide range of relevant issues but focuses, in particular on questions such as: whether small/medium size institutions have the expertise and staffing complement to start and maintain IRs and supporting ETD initiatives; how resource constraints affect and dictate the design and operation of IRs, ETD initiatives, and specific tasks such as the assignment metadata; whether open source software supports their needs, and whether researchers at such organizations can find ETDs from other institutions effectively.

Conclusions: Small and medium sized institutions have unique challenges to contend with in relation to the creation of IRs and the processing of the content to be contained within them. Much ‘good practice’ associated with ETDs exists however, small and medium size institutions have to find ways to select from, and adapt, this to fit the resources they have available. This presentation demonstrates that even with financial, personnel and time constraints, it is possible for smaller institutions to place their academic programs in the best possible light and to ensure that their ETDs, and associated research output, are well publicized.

Creating Self-Paced Training Materials for an ETD Program

Kathy Fletcher, West Virginia University

At West Virginia University (WVU), we have been presenting face to face workshops, seminars, and help clinics since 1998 when we started our campus electronic thesis and dissertation program. To attempt to meet the needs of those students who have left campus or whose schedules preclude their attendance at live events, we posted our workshop handouts, PowerPoint files, and helpful hint articles online as Adobe PDF files.

In recent years, we have started to create more animated materials for our training efforts using Adobe Captivate software. We have now expanded our online training materials for our ETD training program to include demonstrations and simulation exercises on how to create and modify Adobe PDF files along with other ETD program topics.

We have recently started investigating the use of Adobe Presenter software as a possible way of enhancing our PowerPoint lectures for online delivery. In addition to summarizing WVU’s training material experiences at WVU, this presentation will discuss practical Adobe Captivate tips for creating and editing online demonstrations that are attractive and accessible, while still minimizing final file sizes where possible.

Cataloging ETDs and the Migration to ExLibris DigiTool

Gordon Ernst, West Virginia University Libraries

After eleven years, West Virginia University (WVU) migrated from its homegrown eIDR ETD system to a new ExLibris DigiTool system named WVU Scholar. This presentation will briefly discuss WVU’s procedures for ETD cataloging in the MARC format for the OCLC Connexion and ExLibris Voyager systems. It will illustrate how we merged the existing eIDR data with the corresponding Voyager bibliographic MARC data to create...
ETDs were for many years a unique type of scholarly document, representing the first scholarly work of an aspiring academic/researcher. Indeed they were unique, constituting a peculiar category of published/non-published materials, accessible until 10 or 15 years ago largely only through meticulous combing of Dissertation Abstracts. Online databases and the ETD movement changed that, interestingly enough at the same time as ETDs began to become a true multi-media phenomenon. Academic institutions are still moving toward requiring universal electronic submission and dealing with issues of open vs. restricted access. At the same time, though, ETDs represent a vanguard of a much larger area of “grey scholarship”, with institutions now “publishing” both undergraduate honors theses and master’s theses, all now being united under the big tent of an Institutional Repository (IR).

A large and growing number of institutions have chosen to do so using the Ex Libris DigiTool platform, with impressive results: theses stored in DigiTool now total more than 27,000 (a very partial count), and with larger numbers of faculty papers and several thousand undergraduate honors papers being represented as well.

It is now clear that ETDs are now an integral part of a larger body of mainstreamed institutional research. At the same time, they are also searchable and therefore deliverable on the basis of full-text, with access controls as deemed appropriate institutionally, and also optionally open to Google (etc.) for harvesting and discovery. In the bigger picture ETDs are moving from a small silo to a big universe.

Come join us as we take a tour a number of important DigiTool ETD sites, including Boston College, Colorado State University, Florida State University, McGill University, Rensselaer Polytechnic Institute, University of Melbourne, University of Porto, University of South Florida, and West Virginia University.

**Methodology:** Since September 2006, graduate students at the University of Maryland have had the option of restricting access to their ETD in the university's digital repository for either a one- or six-year period. Embargo requests must be approved by the student's faculty advisor and submitted to the Graduate School prior to uploading the ETD at the end of each semester. Statistics and trends on embargo requests were analyzed for each academic department and faculty advisors were surveyed to determine reasons for approving embargo requests.

**Preliminary Results:** Since the beginning of the program, an average of 32% of the ETDs that have been submitted each semester have been embargoed. While Engineering has the largest number of embargoes (148), Chemical and Life Sciences has the greatest percentage (53%), followed closely by Agriculture and Natural Resources (52%) and Business (47%). The faculty survey results are pending and will be presented at the conference.

**Conclusions/Recommendations:** While the percentage of embargoes has remained relatively constant each semester, our goal is to decrease the number of embargoes by educating faculty and students on the benefits of making their research widely available. We are working with the Graduate School and library faculty to develop a scholarly communications program that not only educates faculty and graduate students about the consequences of embargoes, but also makes them more aware of open access issues in general. In addition, we will share best practices for implementing embargoes for institutions planning to add ETDs to their digital repository.

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**BREAKOUT SESSION 1B**

**OPEN ACCESS: JOURNEYS FROM OBSCURITY TO VISIBILITY**

» Moderator: Gail McMillan, Virginia Tech  
» Wednesday, June 10 – 1:30 p.m. – 3 p.m.

**ETDs in Lock-Down: Trends, Analyses and Faculty Perspectives on ETD Embargoes**

» Terry Owen, University of Maryland  
» Timothy Hackman, University of Maryland  
» Thomas Harrold, University of Maryland

Objective/Purpose: The purpose of this research is to track trends among academic departments requesting ETD embargoes, gain insight into faculty perspectives on publicly available ETDs, ascertain reasons for approving embargo requests, and identify strategies for educating faculty about embargoes.

**Restricted ETDs and Open Access**

» Ana Pavan, Departamento de Engenharia Elétrica, Pontifícia Universidade  
» Ana Mazzeto, Departamento de Engenharia Elétrica, Pontifícia Universidade Católica do Rio de Janeiro

The road to Open Access passes by authors’ rights and by the compliance to the legal rights they may have in different nations. In order to enhance Open Access to ETDs, it is necessary to address the issue of how authors behave concerning their theses and dissertations.

PUC-Rio’s ETD program began in 2000 and in August 2002 ETDs became mandatory. Though PUC-Rio is a small university when compared to the Brazilian public institutions, the number of ETDs is over 4,300; between 500 and 600 new ETDs are published every year.

The team that works in the ETD program has observed that restricted ETDs have always been presented. But there never has been a study on the profile of restrictions.

The team decided to analyze restricted ETDs published in 2005 - 2009. Information was gathered from the digital library system. All ETDs with any type of restriction were identified (year, level, graduate program, supervisor, time and reason of restriction). The numbers of ETDs published each year also examined.

The types of analysis being performed are:

- Numbers and percentages of restricted ETDs – all ETDs, ETDs per graduate program and ETDs per supervisor, identifying categories of restriction concentration;
- Numbers on restricted ETDs per type of reason for restriction (patent, article, book, etc) – all ETDs, ETDs per graduate program and ETDs per supervisor;
- Numbers of restricted ETDs per time of restriction – all ETDs, ETDs per graduate program and ETDs per supervisor.