

15th International Symposium on Electronic Theses and Dissertations

# **Open Access Publishing of ETD's: Requirements and implications of complying with Budapest, Bethesda and Berlin**

Gail Clement

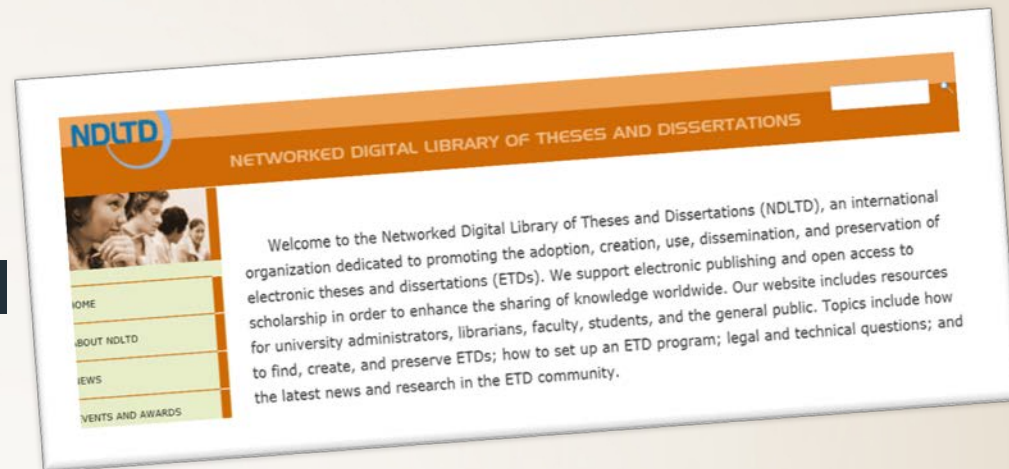
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# Open Access Publishing is an ETD Community value

- Prominent theme of ETD conferences
- Recurring topic on ETD-L list
- Touted on NDLTLD web site and web sites of other regional ETD portals

*“We support electronic publishing and open access to scholarship in order to enhance the sharing of knowledge worldwide.”*



# But are ETD's being published via OA ?

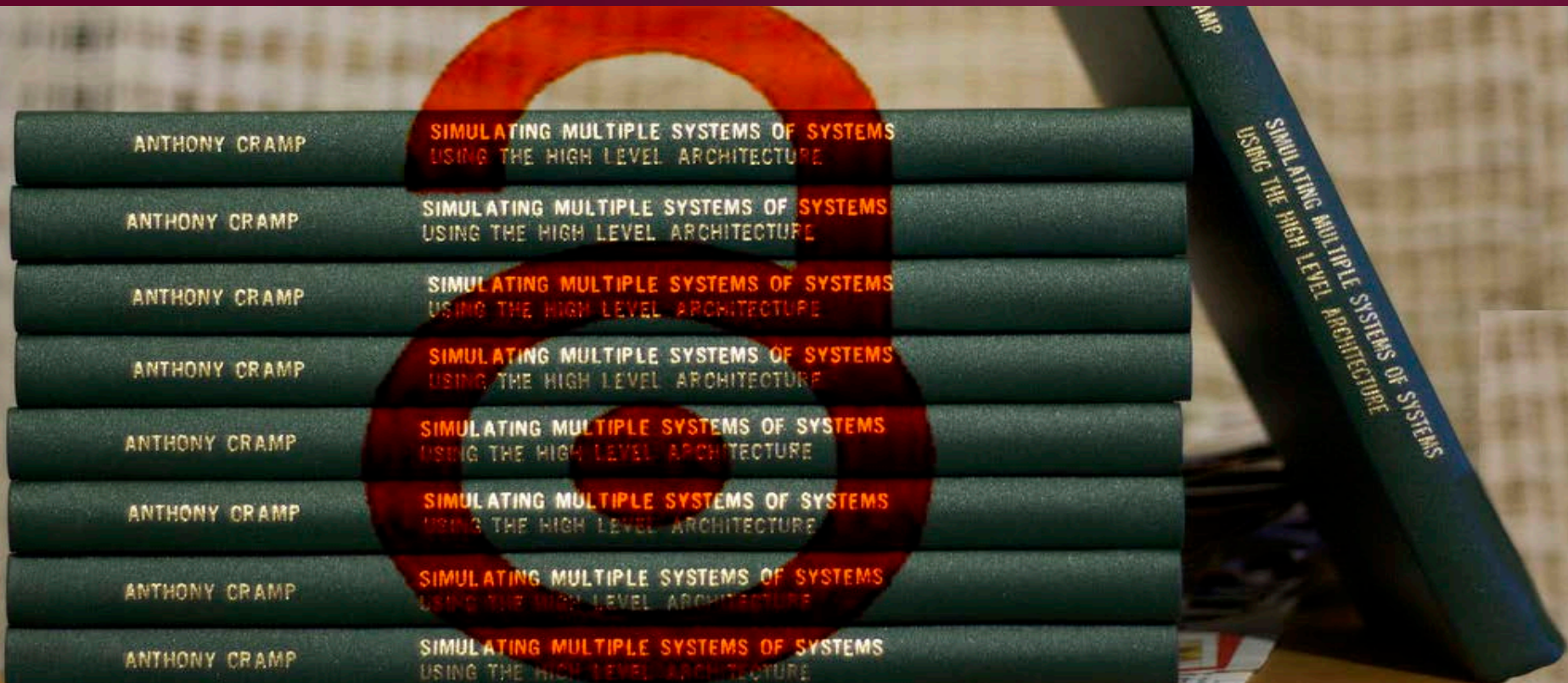


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# Open Access Defined per BBB

- Budapest Open Access Initiative (2002)
- Bethesda Statement on Open Access Publishing (2003)
- Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (2003)
- Iniciativa de Budapest para el Acceso Abierto (2002)
- Declaración de Bethesda sobre Publicación de Acceso Abierto (2003)
- Declaración de Berlín sobre acceso abierto (2003)



# BBB OA per Peter Suber

- The three contributing public statements have unparalleled stature and influence within the OA movement.
- Nearly all OA proponents agree on the BBB definition
- When I defend the concept of open access against dilution, I'm defending the communal consensus embodied in the BBB definition, not my own private preferences.

Quotes are from Suber, Peter. (2004) "Praising progress, preserving precision," *SPARC Open Access Newsletter*, issue #77, September 2, 2004. Retrieved from <http://www.earlham.edu/~peters/fos/newsletter/09-02-04.htm>. Newsletter distributed under a Creative Commons Attribution 1.0 Generic License (CC BY 1.0).

# BBB Open Access Definition

- Access to the full content of the work at no cost to users
  - Removal of cost barriers
- Access to full content of the work with some reuse rights in support of legitimate scholarly uses
  - Reduction of permission barriers

# NDLTD Open Access Definition

## ETD Terms and Definitions



**Non-exclusive** – Often used to specify the type of distribution license granted by a student to the institution to allow it to make ETDs freely accessible via the Internet. With a non-exclusive license the student retains his/her copyright to the ETD.

o

**Offprint** - A reproduction of or an excerpt from an article that was originally contained in a larger publication.

**Open Access** – Information readily available on the Internet at no cost and without access restrictions. Also, the scholarly communication reform movement that aims to make scholarly literature freely available on the Internet. The Open Access movement aims at reforming scholarly communications by improving the dissemination of scholarly information. Open access (OA) literature is digital, online, free of charge, and free of most copyright and licensing restrictions. The full text and metadata of open access ETDs are available for downloading and viewing by anybody with access to the Internet.

**Open Archives Initiative (OAI)** – The OAI develops and promotes interoperability standards that aim to facilitate the efficient dissemination of content. Its major contribution is the OAI

# Research Questions

- Are North American ETD's fulfilling the principles of BBB/NDLTD Open Access?
- How many ETD's (post 1998) have been created with the removal of cost AND permission barriers?
- If uptake of BBB/NDLTD OA is low, what can be done to align ETD community practices with principles?



# Research Methodology

- Identify where North American ETD's are being published via OA
- Devise a strategy for finding them and determining whether they are compliant with both elements of the BBB/NDLTD OA definition
- Count the number of BBB/NDLTD OA ETD's
- Look for issues and trends that might explain the numbers

# Search Strategy

- *Theses Canada* portal
- *NDLTD Catalog* (North American records)
  - Or combination of regional portals e.g., TDL + OhioLINK + .....
- *PQDT Open*

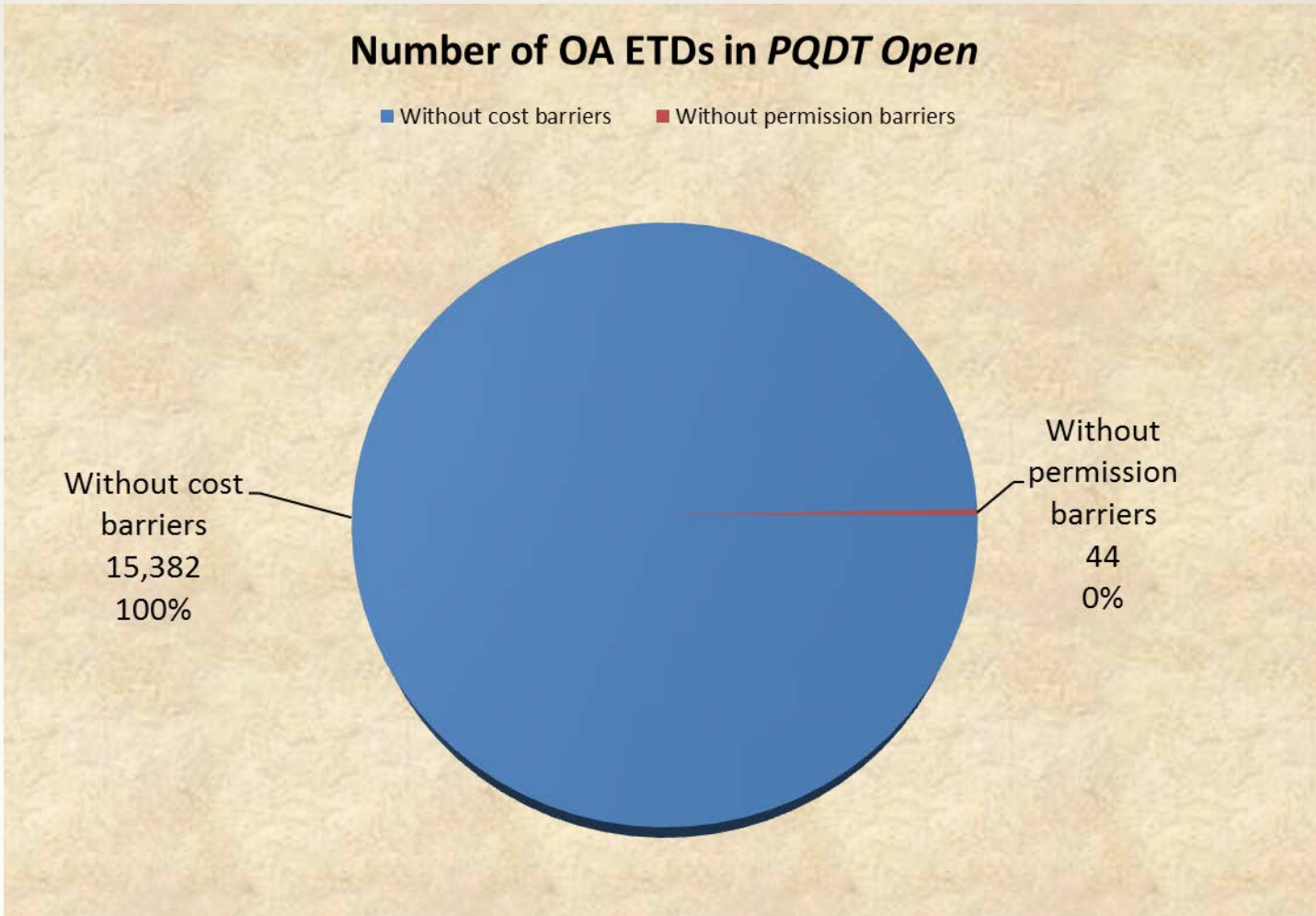
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Document Type	Born digital theses; Born digital dissertations	Digitized legacy theses or dissertations	Look for evidence that thesis or dissertation was scanned to digital from an analog copy. Anything predating 1998 automatically excluded
Publication date	1998 or later	1997 or earlier	1998 represents beginning of ETD movement
Geography	United States Canada	English language but not produced in US or Canada	
Cost-free	Any work to which an anonymous (public) user can gain automatic access to view citation and abstract or the full text	Any work for which an anonymous (public) user must authenticate or remit payment in order to gain access	Items under embargo, where only a citation and abstract were viewable, not excluded because it was assumed that when the embargo period ended, the item would be provided without charge
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# Search Strategy in PQDT Open

```
sch(SCHLOC(united  
states) or  
SCHLOC(canada))  
and PDN(>1998) and  
PDN(<2012) and  
("creative  
commons" or "some  
rights reserved")
```

- 15,384 North American ETD's published without price barriers
- 44 North American ETD's published with removal of some permission barriers

# Results



# Examples of ETD's with permission barriers removed

COMPUTATIONAL OPTIMAL DESIGN AND  
UNCERTAINTY QUANTIFICATION OF COMPLEX SYSTEMS  
USING EXPLICIT DECISION BOUNDARIES

By

Anirban Basudhar



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# Examples of ETD's with permission barriers removed

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# Issues and Trends with OA ETD's

- Author-side fees for OA publishing are an acceptable business model
- Many reputable publishers are going this direction
  - *And some non-reputable ones are too! ☹️*
- Author-side fees range from a few hundred to thousands of dollars
- Institutions and funding agencies sometimes pay the fee, but otherwise authors must bear it alone

# Issues and Trends:

## BioMedCentral thinks Author-side payment for OA is Okay

BioMedCentral OA fees range between:

£390 / €490 / US\$620

for *Italian Journal of Pediatrics* and

£1625 / €2045 / US\$2575

for *Genome Biology*

“Open access publishing is not without costs. BioMed Central defrays these costs through article-processing charges because it does not have subscription charges for its research content. The company instead believes that immediate, worldwide, barrier-free, open access to the full text of research articles is in the best interests of the scientific community.”

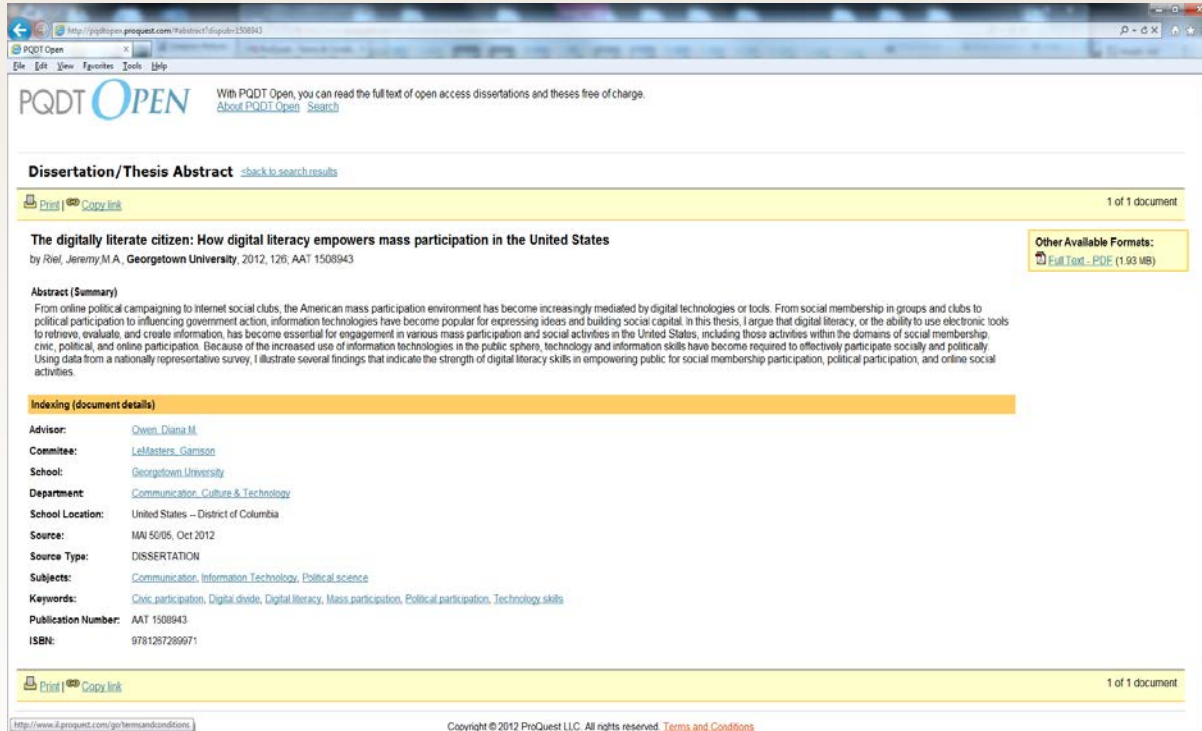
BioMedCentral (n.d). “Why do BioMed Central journals have article-processing charges? ”

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# When Author-side payment for OA does not pay: Publishers contradict author's CC license with publisher's more restrictive license



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by Riel, Jeremy M A, Georgetown University, 2012, 126, AAT 1508943

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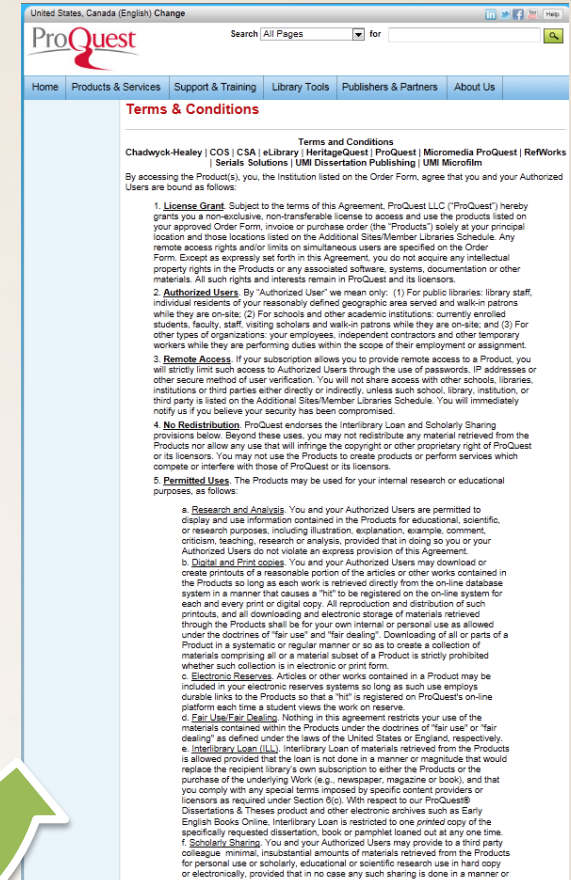
**Abstract (Summary)**  
From online political campaigning to internet social clubs, the American mass participation environment has become increasingly mediated by digital technologies or tools. From social membership in groups and clubs to political participation to influencing government action, information technologies have become popular for expressing ideas and building social capital. In this thesis, I argue that digital literacy, or the ability to use electronic tools to retrieve, evaluate, and create information, has become essential for engagement in various mass participation and social activities in the United States, including those activities within the domains of social membership, civic, political, and online participation. Because of the increased use of information technologies in the public sphere, technology and information skills have become required to effectively participate socially and politically. Using data from a nationally representative survey, I illustrate several findings that indicate the strength of digital literacy skills in empowering public for social membership participation, political participation, and online social activities.

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THE DIGITALLY LITERATE CITIZEN:  
HOW DIGITAL LITERACY EMPOWERS MASS PARTICIPATION IN THE UNITED STATES

A Masters Thesis  
submitted to the Faculty  
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of Georgetown University  
in partial fulfillment of the requirements for the  
degree of  
Master of Arts  
in Communication, Culture and Technology.

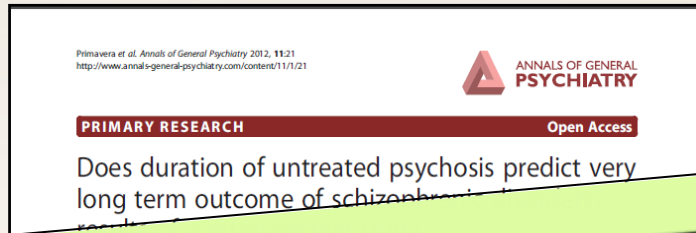
By

Jeremy Riel, B.A.

Washington, D.C.  
April 23, 2012



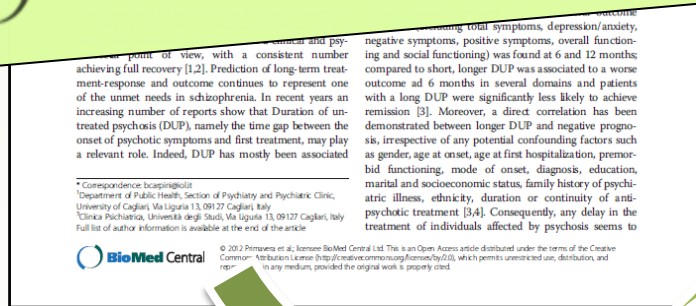
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bid functioning, mode of onset, diagnosis, education, marital and socioeconomic status, family history of psychiatric illness, ethnicity, duration or continuity of anti-psychotic treatment [3,4]. Consequently, any delay in the treatment of individuals affected by psychosis seems to

Source:

Diego Primavera, Chiara Bandecchi, Tiziana Lepori, Lucia Sanna, Eraldo Nicotra and Bernardo Carpinello. (2012) 'Does duration of untreated psychosis predict very long term outcome of schizophrenic disorders? results of a retrospective study'. *Annals of General Psychiatry* 2012, 11:21. Retrieved from <http://www.annals-general-psychiatry.com/content/11/1/21>.



# Removing deterrents for BBB/NDLTD OA

- Make sure the author-side pay model *really pays*
- Educate all ETD stakeholders about the benefits of BBB/NDLTD OA
- Educate graduate schools and students on HOW to reduce permission barriers through CC licensing
- Develop and promote tools and systems for institutions to control their own OA publishing instead of outsourcing to third parties with different missions

# What's Next?

- Apply methodology to other North American ETD databases
- Encourage colleagues in other countries to apply methodology to assess their own landscape
- Compare the data by region and time period
  - Are certain regions seeing greater uptake of BBB/NDLTD OA?
  - Is uptake of BBB/NDLTD OA increasing over time?
  - Why or why not?

# Thank You! ¡Gracias!

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Hedge, Chris.(2011). *Big Bend at Dusk.*

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