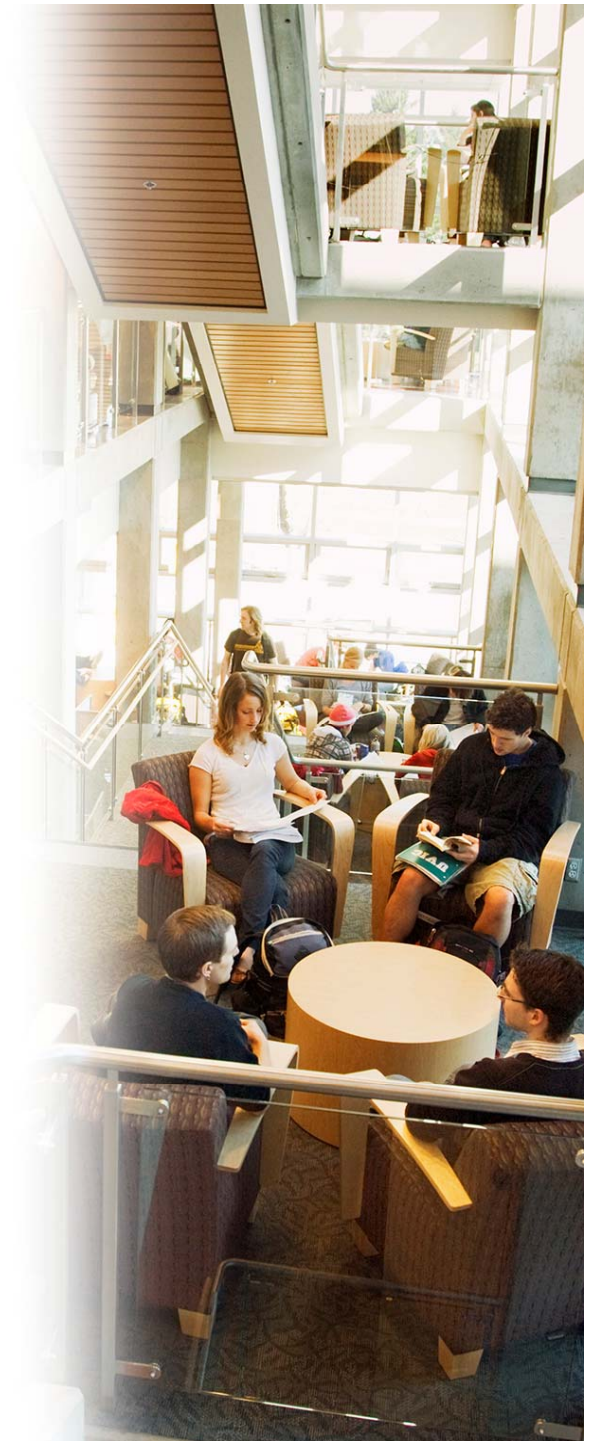


# ETDs in Canada: trends and best practices

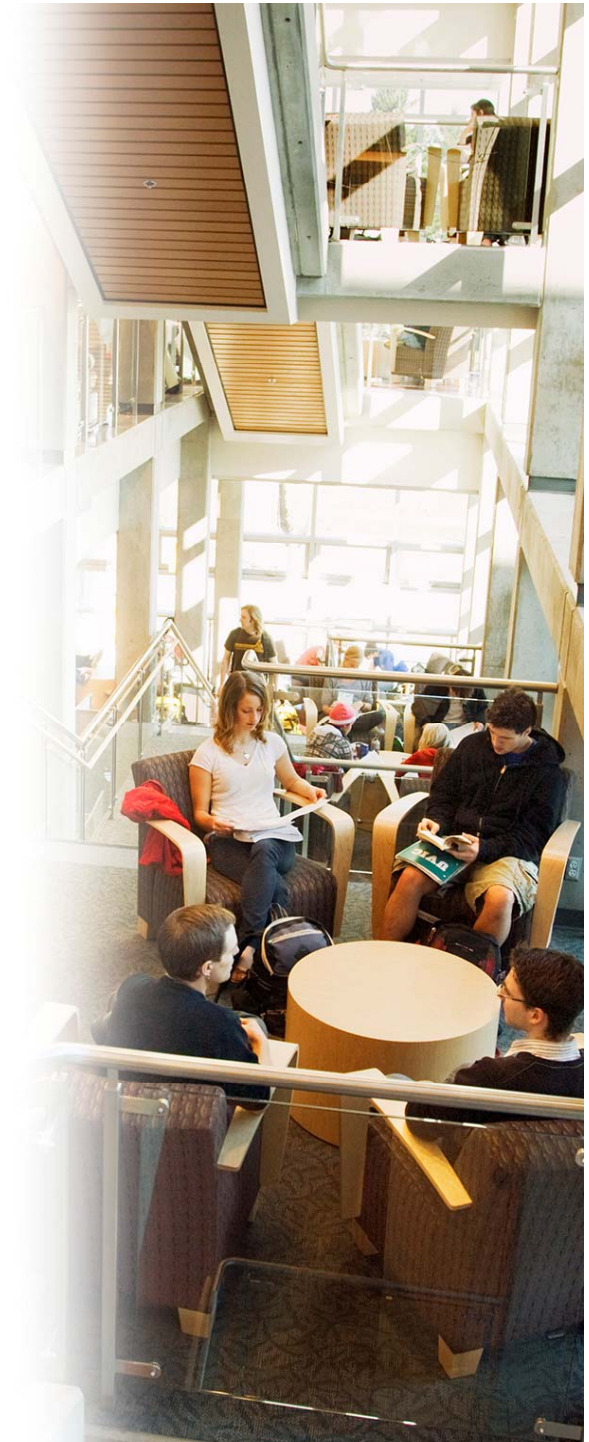
Nancy Stuart  
University of Victoria  
ETD 2012  
Lima, Peru

# ETDs in Canada: trends and best practices



# Overview

- History of ETDs in Canada
- Fall 2011 survey
- Trends
  - Institutional repositories
  - ETD programs
  - Embargoed or restricted ETDs
  - Harvesting
  - Preservation



# Overview

- Best practices
  - Mandatory submission
  - Embargoes
  - Metadata
  - Multi-media / Multiple files
  - Preservation
- Future of ETDs in Canada



# History of ETDs in Canada

- Theses Canada program began 1965
- Pilot program to acquire ETDs 2003
  - Harvest both metadata and ETD
  - Preservation
- Benefits
  - Save space
  - Open access
  - Theses Canada portal



# Fall 2011 Survey

- Survey instrument was Survey Monkey
- 33 institutions responded
- Response rate was over 50%
- Two goals:
  - Growth of IRs
  - Determine state of ETD programs
- Follow up from a 2009 survey



# Trends: Institutional repositories (IR)

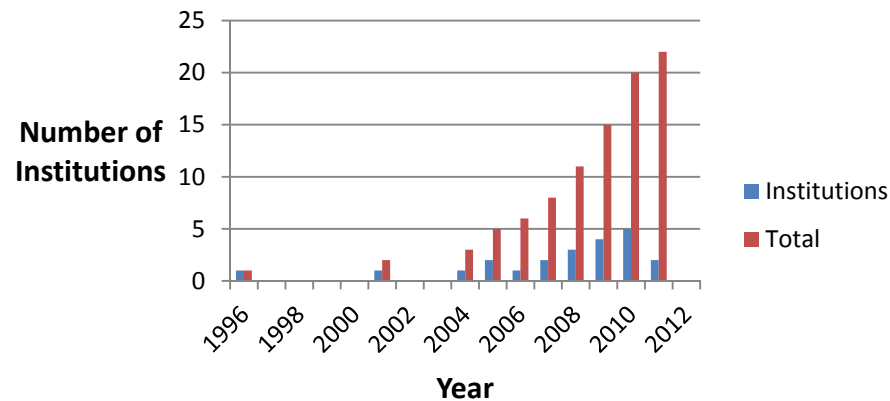
- 76% of Canadian institutions surveyed have an IR
- 50% without an IR have plans to implement one
- Most popular software: DSpace
- First IR in 2003
- 25 IRs in 2011



# Trends: ETD programs

- First ETD programs launched in 1996 and 2001
- 67% of institutions (22) have an ETD program
- 60% require mandatory submission

Number of institutions launching ETD programs by Year





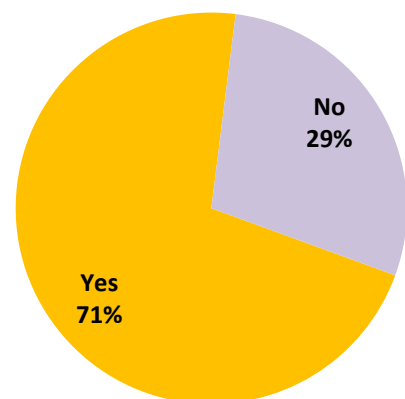
# Trends: Embargoed or Restricted ETDs

- Def'n: to restrict access for a period of time
- Open access vs. restricted
- 72% of institutions surveyed allow restricted ETDs
- Common periods: 6 months, 1, 2 or 5 years



# Trends: Harvesting

- Library and Archives Canada harvested first ETDs in 2003
- Unique: harvest both metadata and PDF
- In 2011, 71% of ETD collections (16) are harvested by LAC



# Trends: Preservation

- Microfiche/microfilm standard preservation medium for theses
- Transitioning to digital preservation
- Since 2011 LAC stopped microform copy of the ETD, only digital
- Only 36% of Canadian institutions still retain a microform copy from ProQuest



# Best practices: Mandatory submission

- ND LTD (Networked Digital Library of Theses and Dissertations) website
  - ETD Guide
- Theses Canada Portal website
  - How to setup ETDs
- Start with mandatory submission
- Difficult to transition from voluntary to mandatory



# Best practices: Embargoes

- 25% - 34% restricted
- No consensus on good practices concerning embargoes/restrictions
- Open access vs. restricted
- Indefinite “forever” embargoes
- Governed by university policy
- 6 months, 1 yr., 2 yr., and 5 yr.



# Best practices: Embargoes

- Continued



# Best practices: Metadata

- NDLTD - ETD-MS schema  
<http://www.ndltd.org/standards/metadata/etd-ms-v1.00-rev2.html>
- Four qualifiers for thesis.degree
  - name
  - level
  - discipline
  - grantor

<degree>

<name>PHD</name>

<level>doctoral</level>

<discipline>Sociology</discipline>

<grantor>University of Victoria</grantor>

</degree>



# Best practices: Multi-media / Multiple files

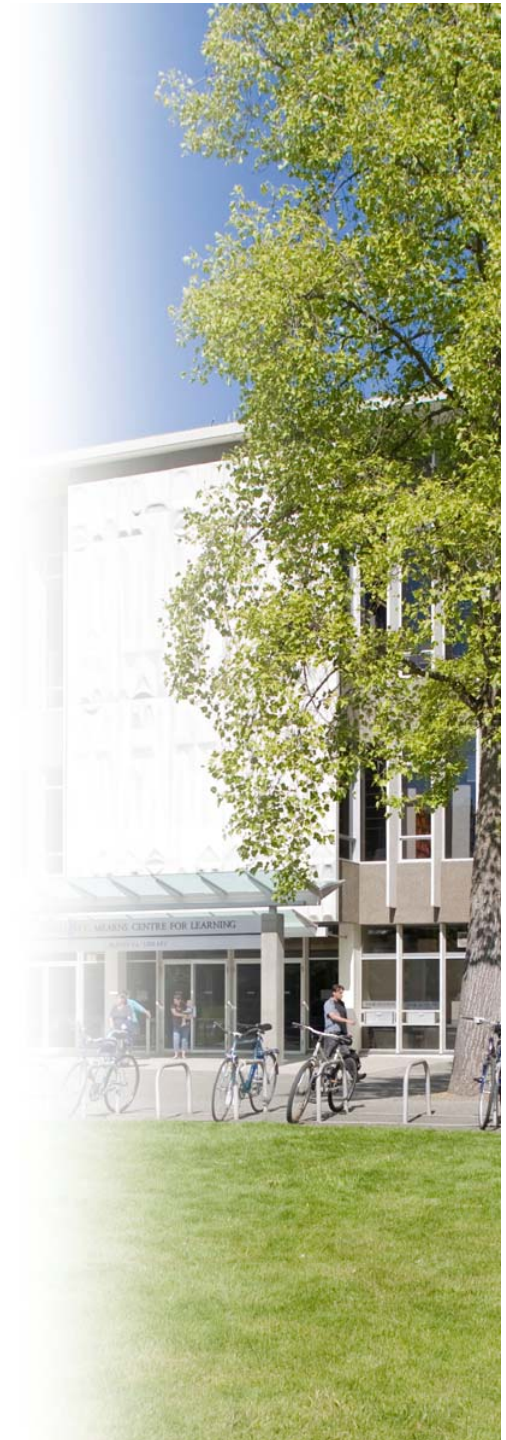
- ETDs encourage multi-media creativity
- Innovative ETD award
- Multiple files / various formats acceptable
- Canada – single PDF file for harvesting
- Adobe Acrobat e-portfolio
- Example:  
<http://hdl.handle.net/1828/3414>





# Best practices: Preservation

- MetaArchive – United States
- DigitalPreservationEurope(DEP) – Europe
- ProQuest
- LOCKSS network – COPPUL consortium – Canada



# Best practices: Preservation

- Continued



# Future of ETDs in Canada

- ETD programs expanding
- Support & collaboration
  - LAC – Library and Archives Canada
  - CARL – Canadian Association of Research Libraries
  - ND LTD – Networked Digital Library of Theses and Dissertations
  - ETD-L listserv – [ETD-L@LISTSERV.VT.EDU](mailto:ETD-L@LISTSERV.VT.EDU)



# Thank you

Questions or comments

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