ETD’s: Institutional Policies and Procedures

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Defining ETD’s

• Accept only theses and dissertations approved through Graduate School
• Regional campuses with graduate programs
• Honors theses
• Other examples
Submission Policies

• Mandatory vs. voluntary submissions
  – Penn State, Australian Digital Theses Program

• Enrollment date policy vs. submission-date policy
  – Australian Digital Theses Program study
Who holds copyright

• Generally author holds copyright

• But there are exceptions: MIT holds copyright for most theses, except in humanities, social sciences, and management, author must grant permission for MIT to reproduce and distribute copies of the thesis in whole or in part; 10,000 ETD’s available from 1879 to present with downloading and printing restrictions, accessed through DSpace
Access levels

• **Open access**: no access restrictions
• **Restricted**: limited to on-campus access
• **Withheld**: ETDs which are completely restricted from all public view, usually to allow for patent application or copyright protection in the case of prior or intended commercial publication
• **Hybrid**: Partly withheld/open access
• **Duration**: time limit with reclassification to more accessible level of access
Accommodating stakeholder needs

• Stakeholders
  – Authors, graduate students
  – Faculty
  – The University
  – Commercial publishers
  – Granting Agencies
Intellectual Property Issues related to access

• Publication considerations
  – University of Cincinnati maintaining the Online Academic Journal Policy Database

• Patent considerations

• National security considerations
  – PATRIOT Act
Summary of Release Policies: 29 ARL Libraries

<table>
<thead>
<tr>
<th>Categories of release policies</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>1: General non-exclusive right to reproduce</td>
<td>1</td>
</tr>
<tr>
<td>2: &quot;Open access&quot; only</td>
<td>1</td>
</tr>
<tr>
<td>3: &quot;Open access&quot; or &quot;withhold&quot; for limited duration</td>
<td>11</td>
</tr>
<tr>
<td>4: “Open access,” “restricted,” and “withhold”</td>
<td>10</td>
</tr>
<tr>
<td>5: “Restricted” and “withhold” for limited duration</td>
<td>1</td>
</tr>
<tr>
<td>6: Unknown release policy</td>
<td>5</td>
</tr>
</tbody>
</table>
# ETD Policies:
## Twenty-Nine ARL Libraries

<table>
<thead>
<tr>
<th>Library</th>
<th>Policy Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>University of Tennessee - Knoxville</td>
<td>immediate public distribution</td>
</tr>
<tr>
<td>Brigham Young University</td>
<td>Open access, delayed release, restricted access</td>
</tr>
<tr>
<td>Case Western Reserve University</td>
<td>may &quot;hold for release&quot; for 6 mos, 1 yr, 2 yrs</td>
</tr>
<tr>
<td>Florida State University Library</td>
<td>World wide, no release (3 mos), research supported by business or industry (2 mos)</td>
</tr>
<tr>
<td>University of Cincinnati Libraries</td>
<td>&quot;embargo&quot; and &quot;delay&quot; - student specifies date on form</td>
</tr>
<tr>
<td>Ohio State University</td>
<td>May delay for 1, 3, or 5 years.</td>
</tr>
<tr>
<td>University of Georgia</td>
<td>release to web, or release after five years</td>
</tr>
<tr>
<td>Kent State University Libraries</td>
<td>&quot;delay&quot; - student specifies date, up to three years</td>
</tr>
<tr>
<td>Cornell University</td>
<td>Open or closed communities in Dspace</td>
</tr>
<tr>
<td>Georgia Institute of Technology</td>
<td>Two options: World-wide or no access</td>
</tr>
<tr>
<td>North Carolina State University</td>
<td>immediate release, 3 mos hold, 1 yr hold</td>
</tr>
<tr>
<td>University of Kentucky</td>
<td>worldwide access or withheld for two years</td>
</tr>
<tr>
<td>Virginia Tech</td>
<td>access worldwide, Virginia Tech access only (1, 2, 3 years), mixed, secure (1yr)</td>
</tr>
<tr>
<td>Pennsylvania State University Libraries</td>
<td>world wide, 2yr restricted, 2yr secured</td>
</tr>
</tbody>
</table>

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## ETD Policies:
### Twenty-Nine ARL Libraries

<table>
<thead>
<tr>
<th>University</th>
<th>Policy Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>University of Missouri - Columbia</td>
<td>worldwide, release to campus (no sunset?), secure for one year (with possible extension)</td>
</tr>
<tr>
<td>University of Florida</td>
<td>release world wide, restrict (many options for duration), secure for six months</td>
</tr>
<tr>
<td>Texas Tech University Libraries</td>
<td>world wide, release to campus (no sunset?), secure for one year (with possible extension)</td>
</tr>
<tr>
<td>George Washington University</td>
<td>unrestricted, restricted, withheld, mixed release</td>
</tr>
<tr>
<td>University of Pittsburgh</td>
<td>worldwide, release to campus for five years, hold for one year (then go to cat 1 or 2)</td>
</tr>
<tr>
<td>Louisiana State University</td>
<td>freely available, freely available to university community, restricted access</td>
</tr>
<tr>
<td>Texas A&amp;M University Libraries</td>
<td>worldwide, patent hold, journal hold, restrict to campus, patent hold/restrict, journal hold/res</td>
</tr>
<tr>
<td>Vanderbilt University</td>
<td>Sequestered, Vanderbilt Only, General access</td>
</tr>
<tr>
<td>Massachusetts Institute of Technology</td>
<td>&quot;hold&quot; for one year</td>
</tr>
</tbody>
</table>
National Initiatives

- Canada
- France
- Australia
- Germany
- China

Most support the principle that scientific documents prepared at a university have to be openly free from restrictions and permanently accessible to the public to boost distribution of the content for the greater good.
Procedures for embargoed ETD’s

• Must be clearly defined
• Must have a procedure for executing release
Use of Copyrighted Material in ETD’s

- Responsibility for educating students
- Point person on campus
- Can’t have enough information, can’t have too many reminders
- Author sign-off on use of copyrighted materials
- When problems do occur
Plagiarism

- Availability of plagiarism software
- Who takes responsibility for checking for plagiarism
- Addressing faculty concerns that ETD’s facilitate plagiarism of student’s work
Security

- Protecting embargoed documents
- Committee signatures online
- Avoiding any identifying information that one would want to keep off of the Internet
- Invisible signatures in PDF file for approval and authentication purposes
- Employing Adobe Acrobat security features
“Archiving” ETD’s

- ProQuest: microfilming program
- LOCKSS
- OCLC
- FCLA
- Local initiatives
Hosting ETD’s

- ProQuest
- Local hosting
- FCLA
Print

Needs of Committee, Graduate School, Student, Library

– Requested
– Required
– Fees
Access to ETD’s

- Online catalog
- OCLC WorldCat
- ETD Database
- Institutional Repository
- NDLTD
- Google
- ProQuest
- Amazon
ETD Formats

- HTML, XML, PDF
- Embedded files, external files
- Hyperlinks
Retrospective Conversion

• University of Hong Kong, 6,000 with priorities for dissertations and Master’s in Philosophy
• Virginia Tech, focus on those that circulate with access restricted to University network
Final Thoughts

Ultimately, for those of us who spend significant time online, a university’s digital library of theses and dissertations reflects that institution’s heart and soul.

--Joseph Moxley
References


