



ETD's: Institutional Policies and Procedures

Monica Metz-Wiseman
University of South Florida
Libraries



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

Categories of release policies	Number
1: General non-exclusive right to reproduce	1
2: "Open access" only	1
3: "Open access" or "withhold" for limited duration	11
4: "Open access," "restricted," and "withhold"	10
5: "Restricted" and "withhold" for limited duration	1
6: Unknown release policy	5



ETD Policies: Twenty-Nine ARL Libraries

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



ETD Policies: Twenty-Nine ARL Libraries

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



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

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