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The Benefits of Managing and Publishing ETDs "In House" Using an Open Access Repository

Meghan Banach, *University of Massachusetts*

The Benefits of Managing and Publishing ETDs "In House" Using an Open Access Repository

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UNIVERSITY OF MASSACHUSETTS AMHERST

MAY 18, 2011
USETDA CONFERENCE
ORLANDO, FLORIDA

Where have we been and how did we get here?

History of dissertation publishing in the 20th Century

- 1934: First edition of ARL index of *Doctoral Dissertations Accepted By American Universities* is published
- 1938: Eugene B. Power founds University Microfilms (UMI)
- 1939: UMI establishes dissertation publishing program

History of dissertation publishing in the 20th Century

- 1951: ARL Committee on Dissertation Publication formed to study the problem of dissertation distribution and use
- 1952: ARL recognizes UMI as publisher of record for all US dissertations
- 1952-onward: Dissertation Abstracts gains in popularity

History of Dissertation Publishing in the 20th Century

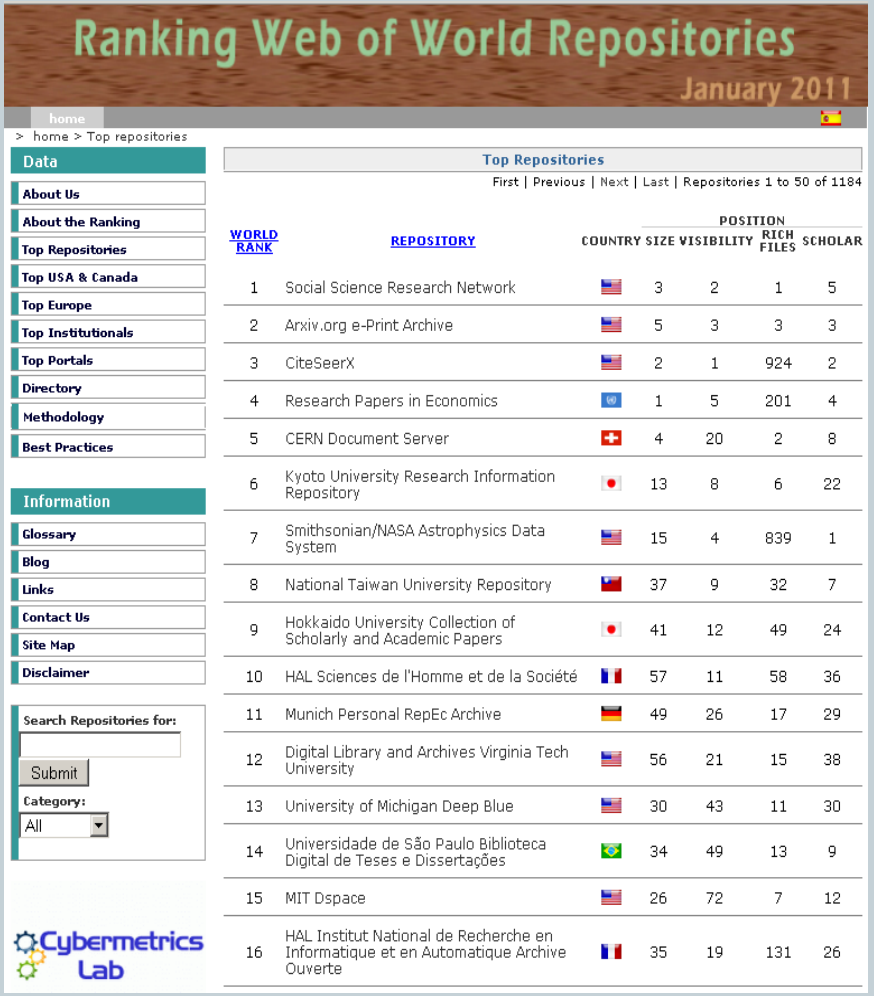
- 1987: Dissertation Abstracts Ondisc created on CD-ROM
- 1995: Dissertation Express-Web-based dissertation ordering
- 1997: UMI celebrates 1.5 millionth dissertation added to Dissertation Abstracts databases
- 1997: Dissertations go digital with ProQuest Digital Dissertations
- 1998: Library of Congress recognizes UMI as offsite repository of Digital Dissertations Library

The Rise of IRs: 1990s

- 1990s: First subject repositories are started on file sharing servers
- 1997: RePec, CogPrints and Education Line online repositories are started
- 1999: ArXiv online repository is started
- 1999: Open Archives Initiative enables cross searching of institutional repositories through OAI-PMH

The Rise of IRs: 21st Century

- 2001: EPrints software developed
- 2002: Dspace software is developed at MIT
- 2002: Bepress Digital Commons software developed for the California Digital Library's eScholarship Repository
- 2002: Raym Crowe "The Case for Institutional Repositories"
- 2010: 440 IRs are listed on the *Ranking Web of World Repositories*
- 2011: 1120 IRs are listed on the *Ranking Web of World Repositories*



Ranking Web of World Repositories

January 2011

home

> home > Top repositories

Data

- About Us
- About the Ranking
- Top Repositories
- Top USA & Canada
- Top Europe
- Top Institutionals
- Top Portals
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Search Repositories for:

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Category:

All

Cybermetrics Lab

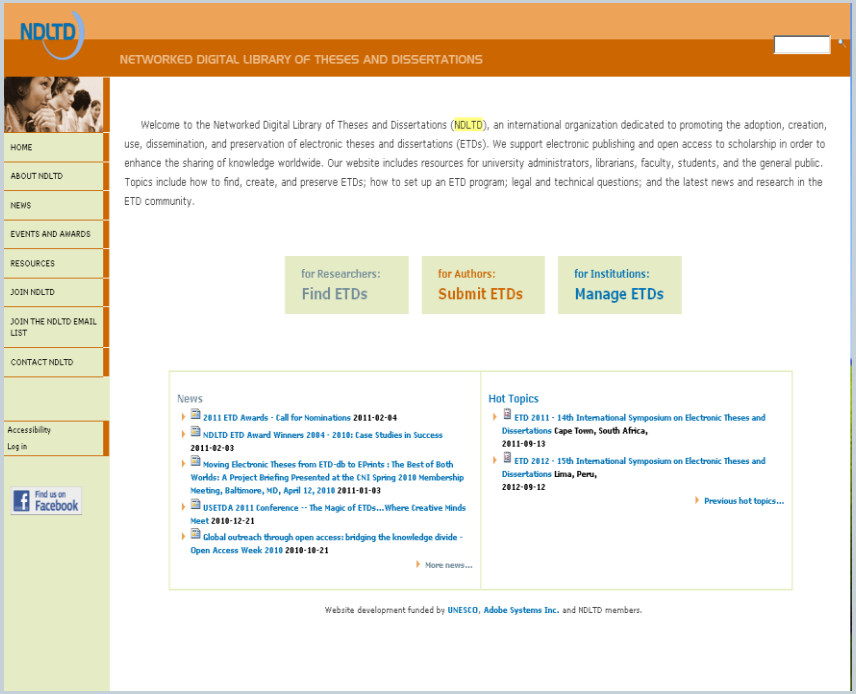
Top Repositories

First | Previous | Next | Last | Repositories 1 to 50 of 1184

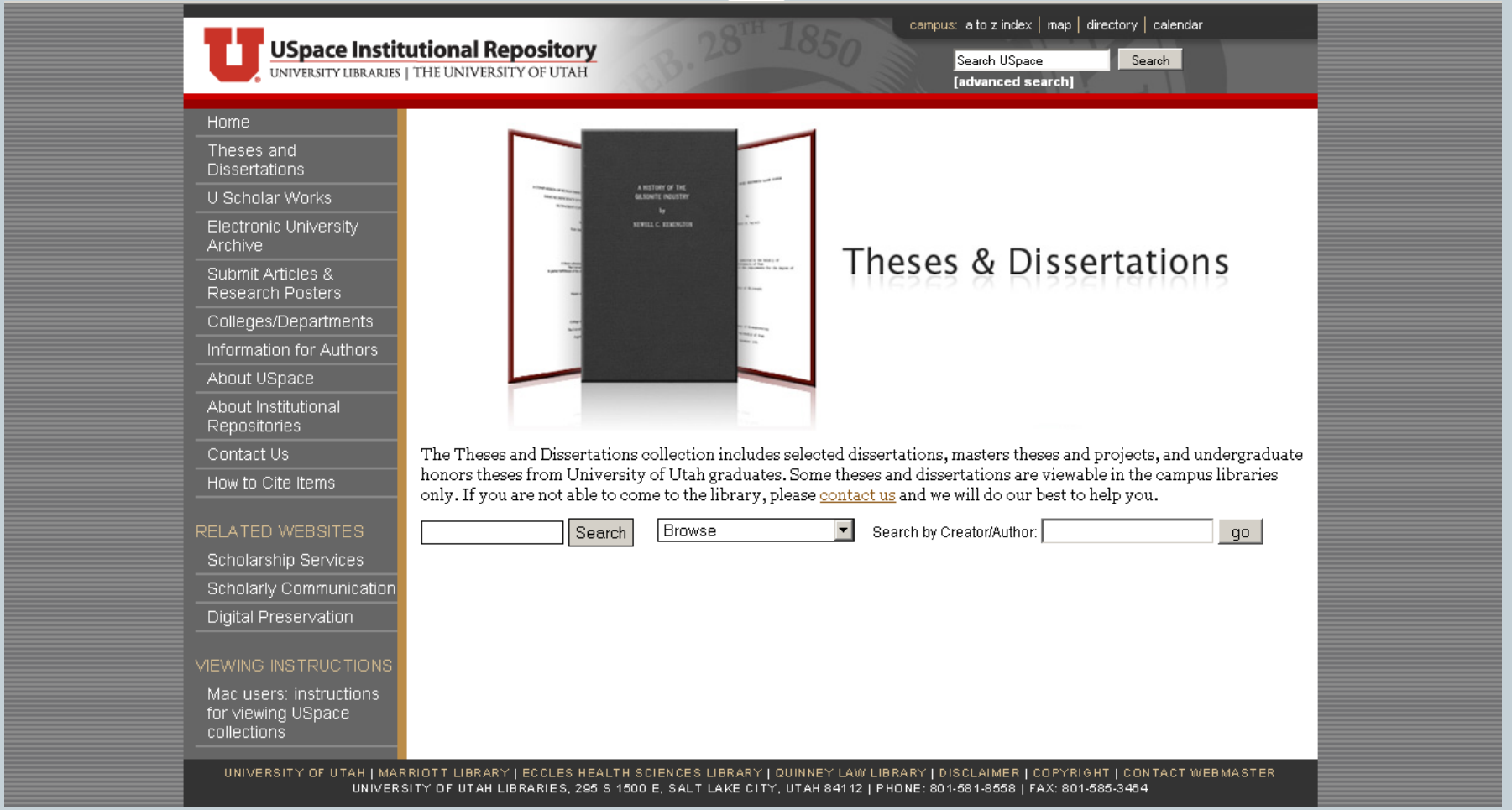
WORLD RANK	REPOSITORY	COUNTRY	POSITION SIZE	VISIBILITY	RICH FILES	SCHOLAR
1	Social Science Research Network		3	2	1	5
2	Arxiv.org e-Print Archive		5	3	3	3
3	CiteSeerX		2	1	924	2
4	Research Papers in Economics		1	5	201	4
5	CERN Document Server		4	20	2	8
6	Kyoto University Research Information Repository		13	8	6	22
7	Smithsonian/NASA Astrophysics Data System		15	4	839	1
8	National Taiwan University Repository		37	9	32	7
9	Hokkaido University Collection of Scholarly and Academic Papers		41	12	49	24
10	HAL Sciences de l'Homme et de la Société		57	11	58	36
11	Munich Personal RepEc Archive		49	26	17	29
12	Digital Library and Archives Virginia Tech University		56	21	15	38
13	University of Michigan Deep Blue		30	43	11	30
14	Universidade de São Paulo Biblioteca Digital de Teses e Dissertações		34	49	13	9
15	MIT Dspace		26	72	7	12
16	HAL Institut National de Recherche en Informatique et en Automatique Archive Ouverte		35	19	131	26

The Rise of ETD Programs

- 1987: First planning meeting for ETDs between UMI, Virginia Tech, University of Michigan. ArborText, and SoftQuad
- 1996: United States funds a three-year effort to spread the concept of ETDs around the US
- 1997: NDLTD was formed
- 1998: First international ETD Conference was held
- By 2000: ETD movement spread internationally to include hundreds of universities around the world



ETD Programs and IRs



Where are we now? Where are we going?

ETD Program at UMass Amherst

- UMass Amherst is flagship of UMass System
- Students
  - 26,000 students; of those 5,770 are grad students
- Faculty
  - 1,170
- Academic
  - 87 bachelor's degree programs, 6 associate's, 73 master's and 51 doctoral programs in 10 schools and colleges
- Research
  - Over $134 million / year

ETDs at UMass Amherst

- ETDs are collected three times per year (May, September, and February)
- How many?
  - Roughly 300 dissertations per year
  - Roughly 200 theses per year
- Two separate workflows:
  - One for Doctoral dissertations

    &
  - One for Masters theses

History of Electronic Theses and Dissertations at UMass Amherst

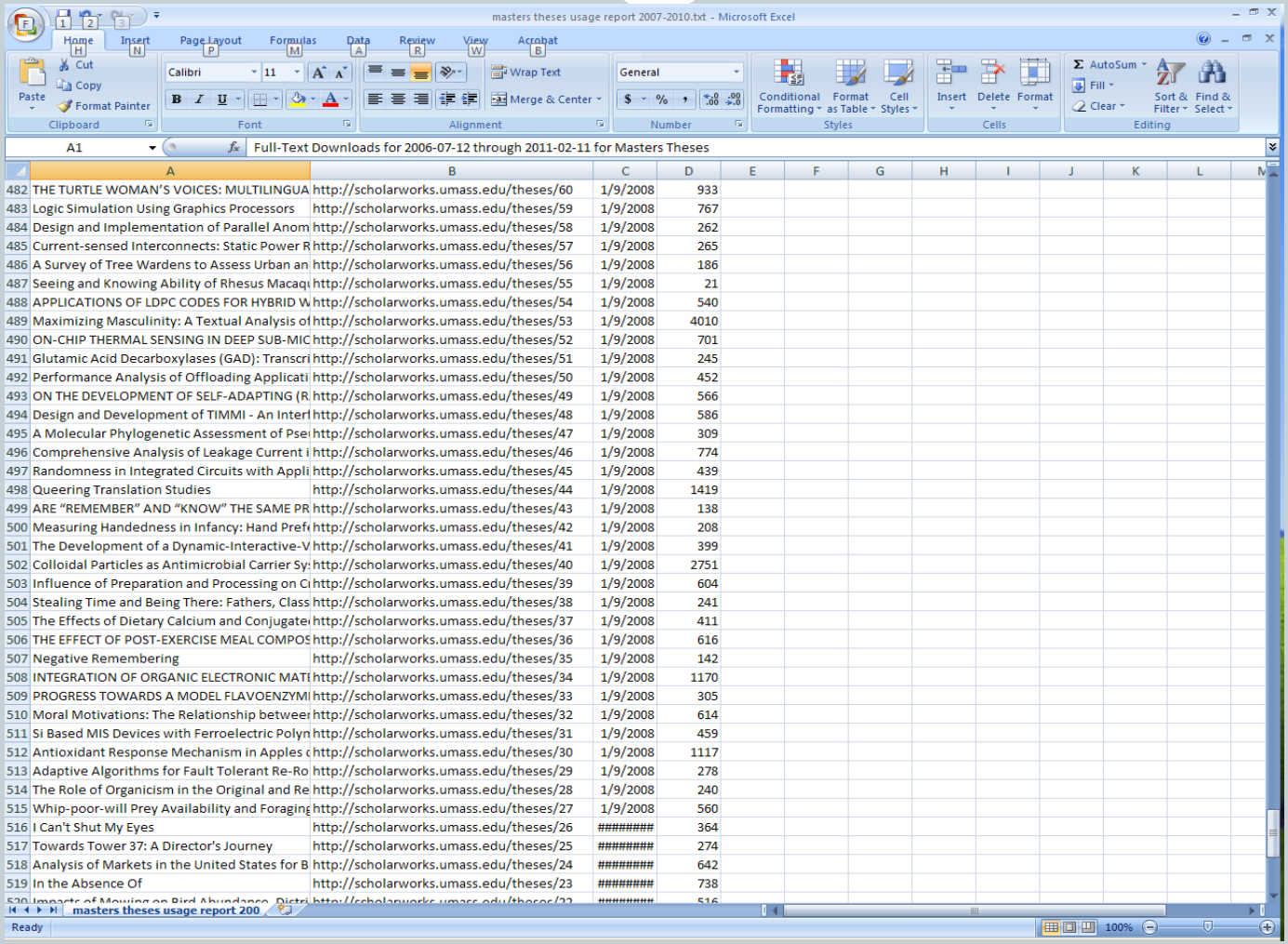
- 1997: Began accepting electronic submissions of doctoral dissertations through the UMI Proquest online ETD submission system
- 2006: Began a Digital Commons repository, called ScholarWorks@UMass Amherst, to showcase the research and scholarly output of our students, faculty, and researchers
- 2007: Started collecting electronic submissions of Masters Theses for the first time. Students submit their theses via an online deposit to ScholarWorks.
- 2009: UMass Amherst Graduate Council institutes a new policy allowing students to choose open access, campus access, and embargoes for their theses and dissertations
- 2010: Library decides to go completely e-only for dissertations and theses

Open Access, Campus Access, & Embargoes

- Open access: full content available to all
- Campus access: full content only available to those using a computer on the UMass Amherst campus, to those with a valid UMass Amherst user name and password, or through Interlibrary Loan
- Embargo:
  - Full content made available six months after degree date (no justification required)
  - Full content made available after a period of longer than six months (approval of academic department and Graduate Dean required)

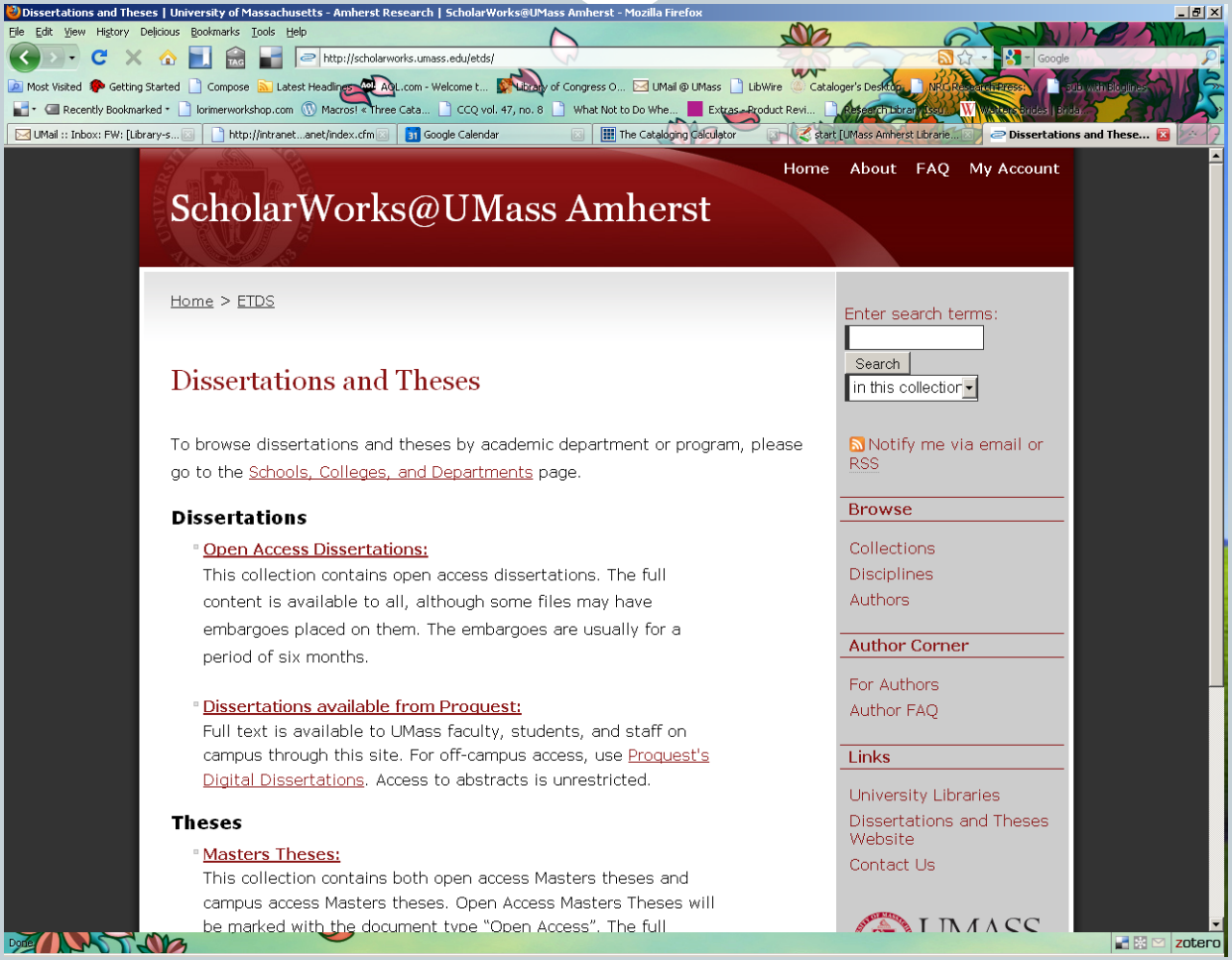
Benefits: Open Access

Benefits: Increased Usage



	A	B	C	D
482	THE TURTLE WOMAN'S VOICES: MULTILINGUA	http://scholarworks.umass.edu/theses/60	1/9/2008	933
483	Logic Simulation Using Graphics Processors	http://scholarworks.umass.edu/theses/59	1/9/2008	767
484	Design and Implementation of Parallel Anom	http://scholarworks.umass.edu/theses/58	1/9/2008	262
485	Current-sensed Interconnects: Static Power R	http://scholarworks.umass.edu/theses/57	1/9/2008	265
486	A Survey of Tree Wardens to Assess Urban an	http://scholarworks.umass.edu/theses/56	1/9/2008	186
487	Seeing and Knowing Ability of Rhesus Macaq	http://scholarworks.umass.edu/theses/55	1/9/2008	21
488	APPLICATIONS OF LDPC CODES FOR HYBRID W	http://scholarworks.umass.edu/theses/54	1/9/2008	540
489	Maximizing Masculinity: A Textual Analysis of	http://scholarworks.umass.edu/theses/53	1/9/2008	4010
490	ON-CHIP THERMAL SENSING IN DEEP SUB-MIC	http://scholarworks.umass.edu/theses/52	1/9/2008	701
491	Glutamic Acid Decarboxylases (GAD): Transcri	http://scholarworks.umass.edu/theses/51	1/9/2008	245
492	Performance Analysis of Offloading Applicati	http://scholarworks.umass.edu/theses/50	1/9/2008	452
493	ON THE DEVELOPMENT OF SELF-ADAPTING (R	http://scholarworks.umass.edu/theses/49	1/9/2008	566
494	Design and Development of TIMMI - An Interl	http://scholarworks.umass.edu/theses/48	1/9/2008	586
495	A Molecular Phylogenetic Assessment of Pse	http://scholarworks.umass.edu/theses/47	1/9/2008	309
496	Comprehensive Analysis of Leakage Current i	http://scholarworks.umass.edu/theses/46	1/9/2008	774
497	Randomness in Integrated Circuits with Appli	http://scholarworks.umass.edu/theses/45	1/9/2008	439
498	Queering Translation Studies	http://scholarworks.umass.edu/theses/44	1/9/2008	1419
499	ARE "REMEMBER" AND "KNOW" THE SAME PR	http://scholarworks.umass.edu/theses/43	1/9/2008	138
500	Measuring Handedness in Infancy: Hand Prefe	http://scholarworks.umass.edu/theses/42	1/9/2008	208
501	The Development of a Dynamic-Interactive-V	http://scholarworks.umass.edu/theses/41	1/9/2008	399
502	Colloidal Particles as Antimicrobial Carrier Sy	http://scholarworks.umass.edu/theses/40	1/9/2008	2751
503	Influence of Preparation and Processing on Ci	http://scholarworks.umass.edu/theses/39	1/9/2008	604
504	Stealing Time and Being There: Fathers, Class	http://scholarworks.umass.edu/theses/38	1/9/2008	241
505	The Effects of Dietary Calcium and Conjugate	http://scholarworks.umass.edu/theses/37	1/9/2008	411
506	THE EFFECT OF POST-EXERCISE MEAL COMPOS	http://scholarworks.umass.edu/theses/36	1/9/2008	616
507	Negative Remembering	http://scholarworks.umass.edu/theses/35	1/9/2008	142
508	INTEGRATION OF ORGANIC ELECTRONIC MATE	http://scholarworks.umass.edu/theses/34	1/9/2008	1170
509	PROGRESS TOWARDS A MODEL FLAVOENZYMI	http://scholarworks.umass.edu/theses/33	1/9/2008	305
510	Moral Motivations: The Relationship betwee	http://scholarworks.umass.edu/theses/32	1/9/2008	614
511	Si Based MIS Devices with Ferroelectric Polyn	http://scholarworks.umass.edu/theses/31	1/9/2008	459
512	Antioxidant Response Mechanism in Apples c	http://scholarworks.umass.edu/theses/30	1/9/2008	1117
513	Adaptive Algorithms for Fault Tolerant Re-Ro	http://scholarworks.umass.edu/theses/29	1/9/2008	278
514	The Role of Organicism in the Original and Re	http://scholarworks.umass.edu/theses/28	1/9/2008	240
515	Whip-poor-will Prey Availability and Foraging	http://scholarworks.umass.edu/theses/27	1/9/2008	560
516	I Can't Shut My Eyes	http://scholarworks.umass.edu/theses/26	########	364
517	Towards Tower 37: A Director's Journey	http://scholarworks.umass.edu/theses/25	########	274
518	Analysis of Markets in the United States for B	http://scholarworks.umass.edu/theses/24	########	642
519	In the Absence Of	http://scholarworks.umass.edu/theses/23	########	738
520	Impacts of Mowing on Bird Abundance, Distri	http://scholarworks.umass.edu/theses/22	########	516

Benefits: Showcasing our Own Research



Benefits: Simplified Workflows

- Students submit their theses via an online deposit to ScholarWorks
- Staff in the Graduate School review theses using the Digital Commons peer review editing system on the backend of ScholarWorks
- After review and revisions are completed theses are published to the Masters Theses Series on ScholarWorks
- After publication to ScholarWorks theses are cataloged by the Thesis and Dissertations Cataloger in the Library

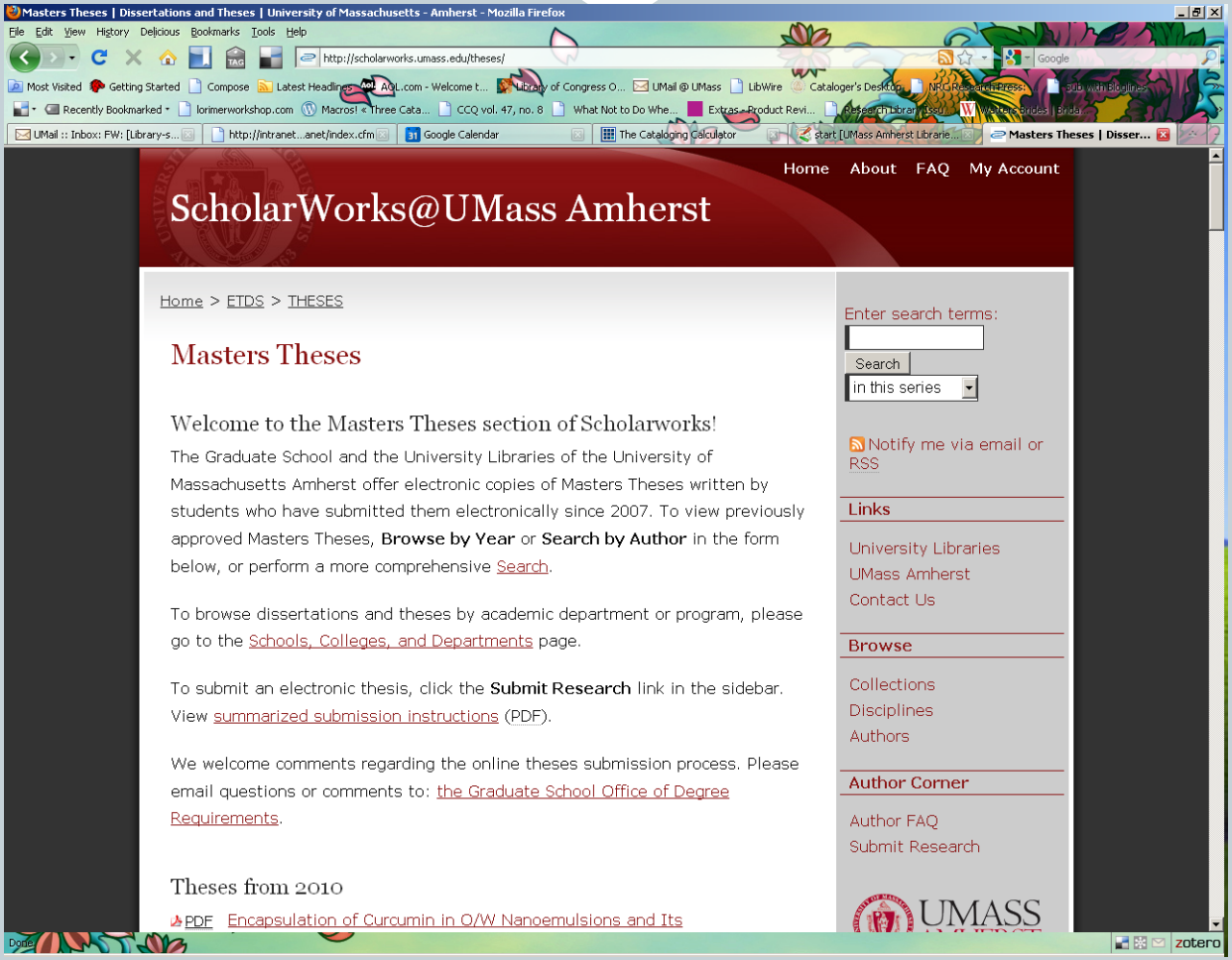
As opposed to more complicated workflows:

- Students submit their dissertations through the UMI Proquest online ETD submission system
- Staff in the Graduate School review dissertations for format, style, and completeness according to a set of "*Guidelines for Master's Theses and Doctoral Dissertations*"
- After review and revisions are completed dissertations are released for publication by UMI Proquest

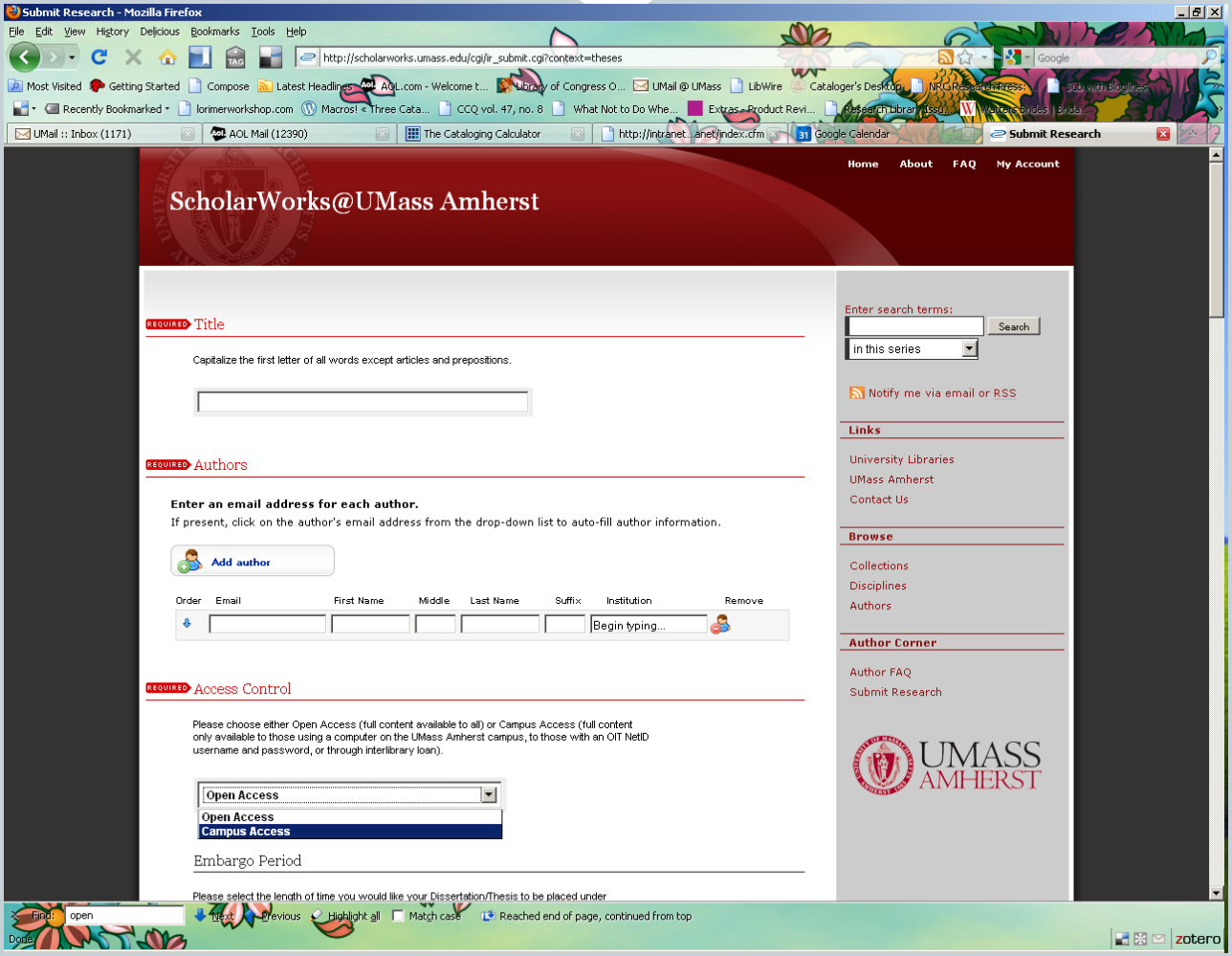
Complicated Workflows (Continued)

- Proquest then sends our dissertation files back to the Library via FTP
- Library stores dissertation files on our own servers
- Student staff in the library upload the open access dissertations to an open access dissertations series on ScholarWorks
- After publication the dissertations are cataloged by the Thesis and Dissertations Cataloger in the Library

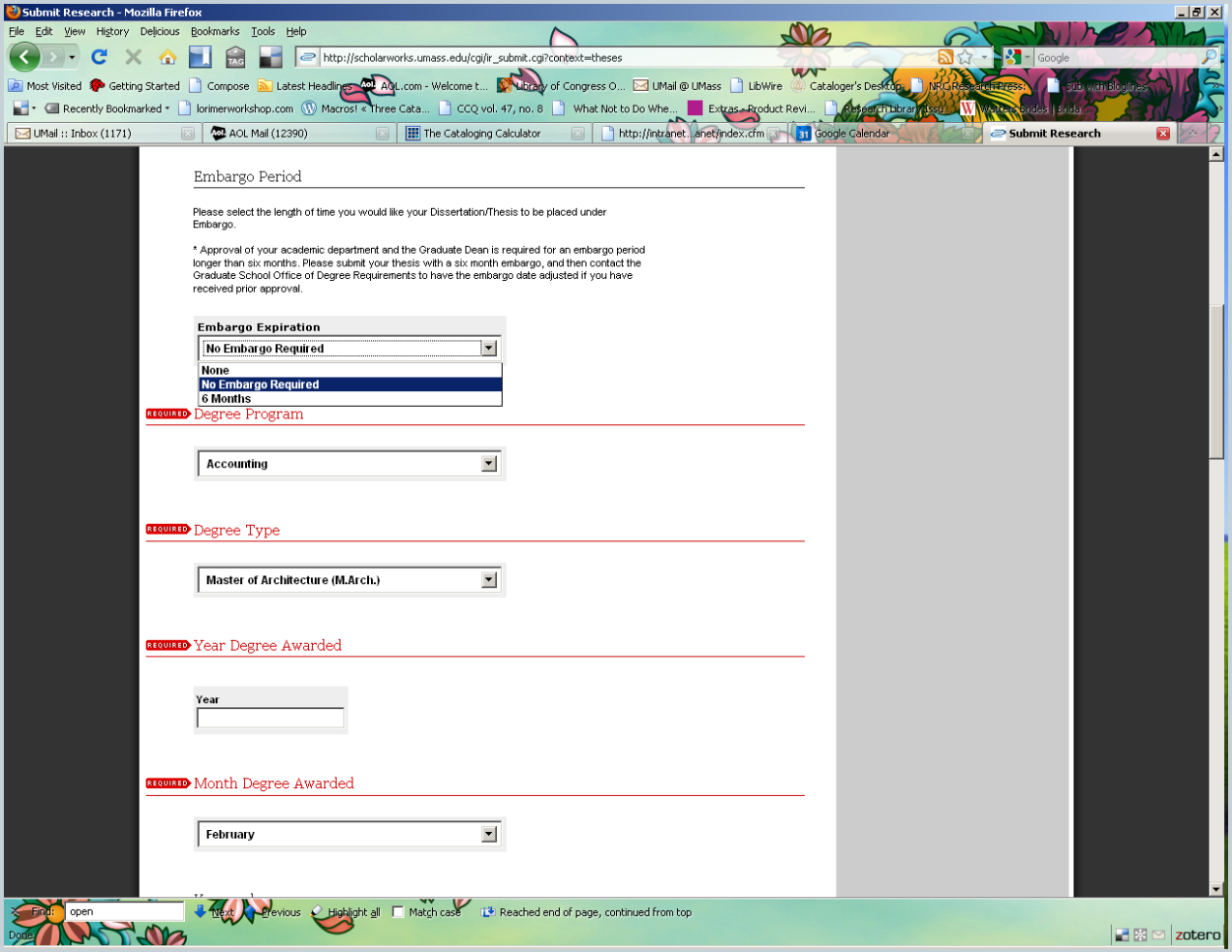
Benefits: Easy Submission Process



Benefits: Control over ETD Metadata



ETD Metadata



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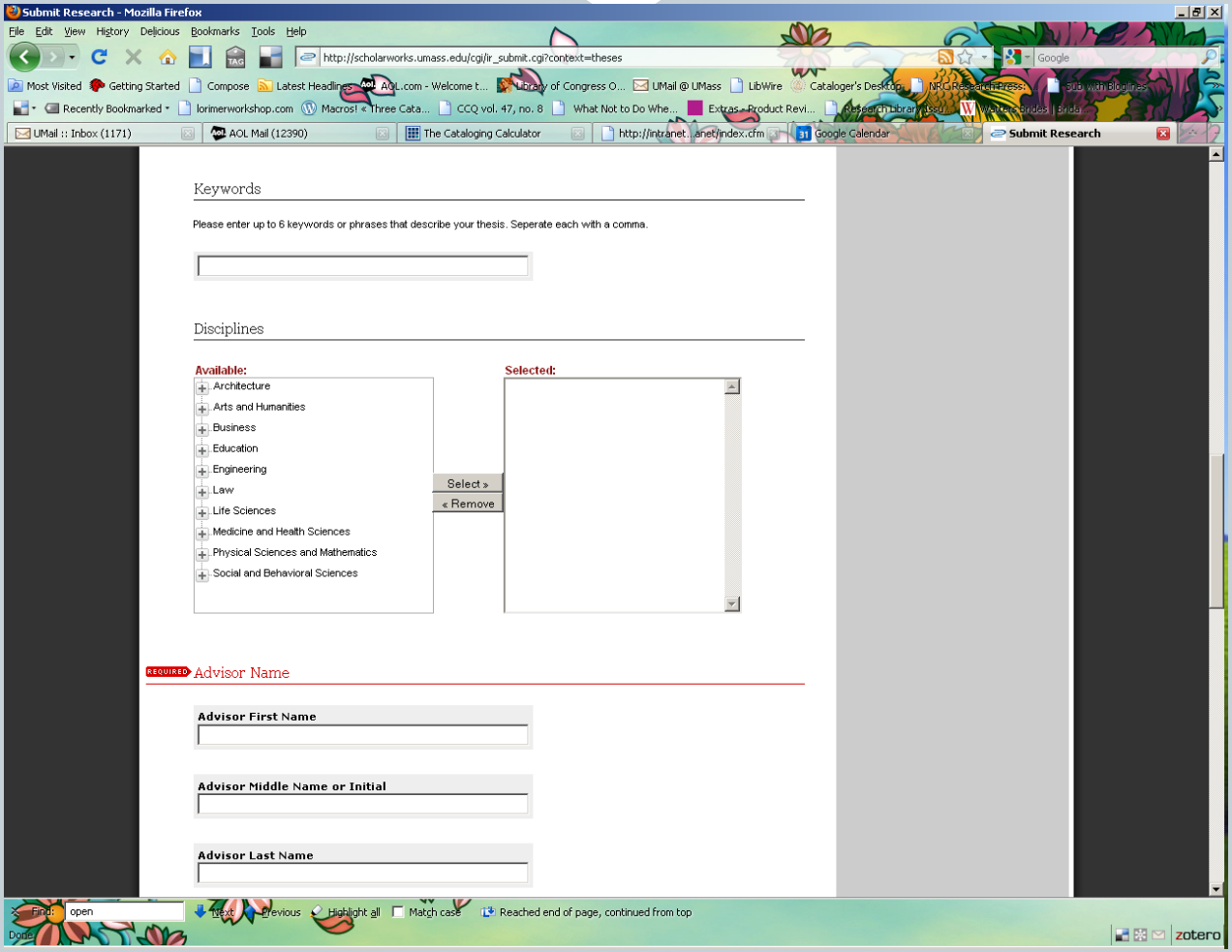
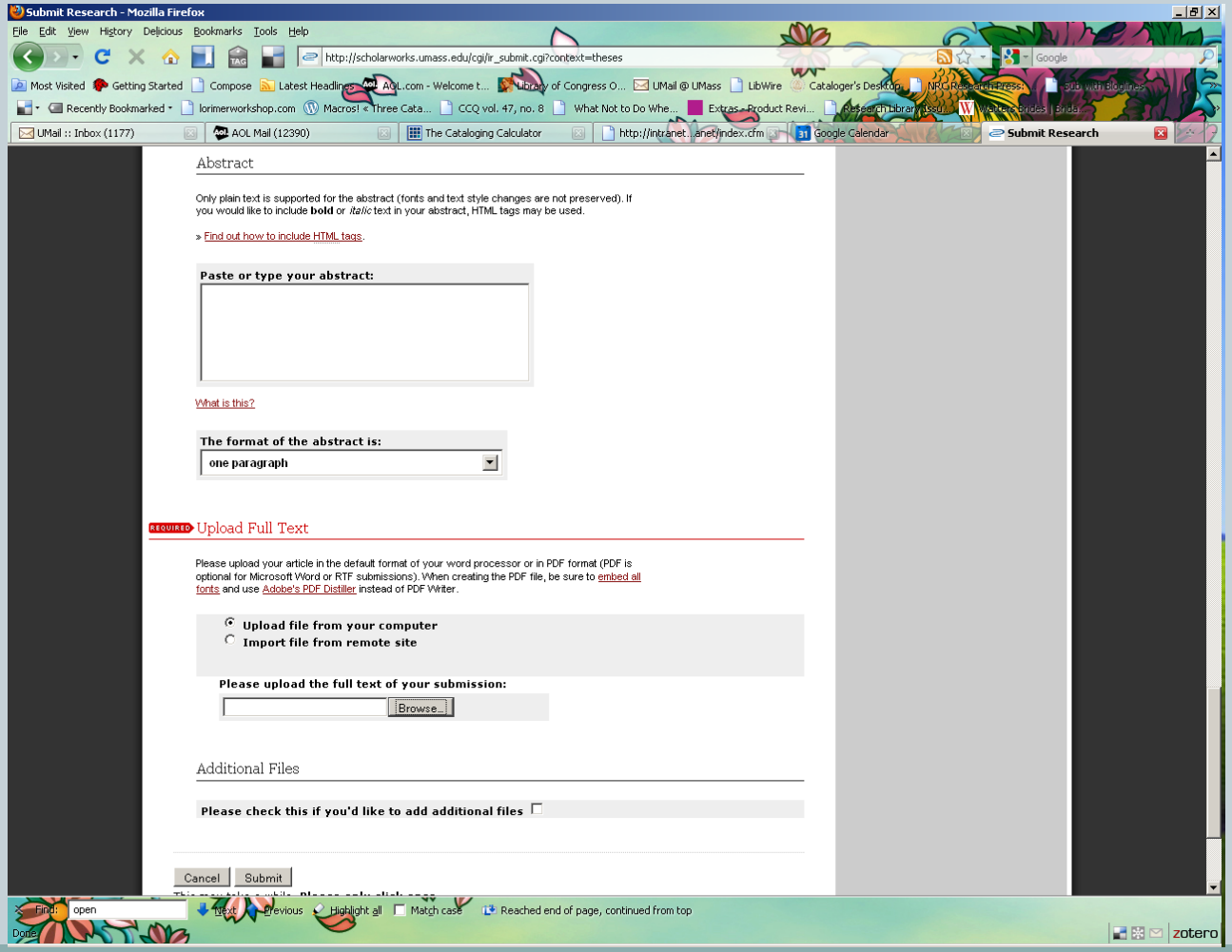
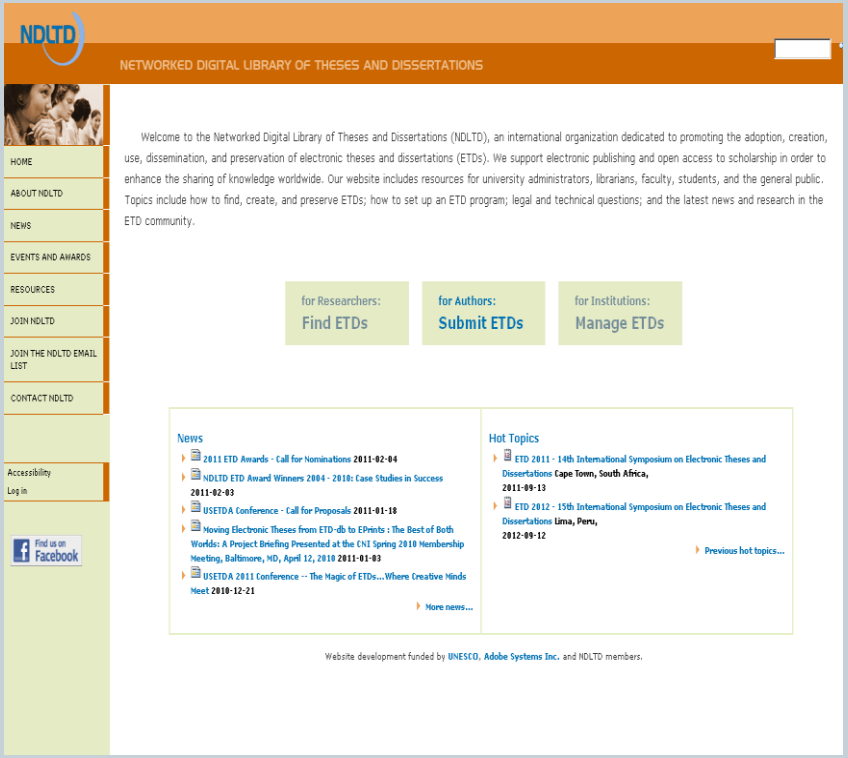
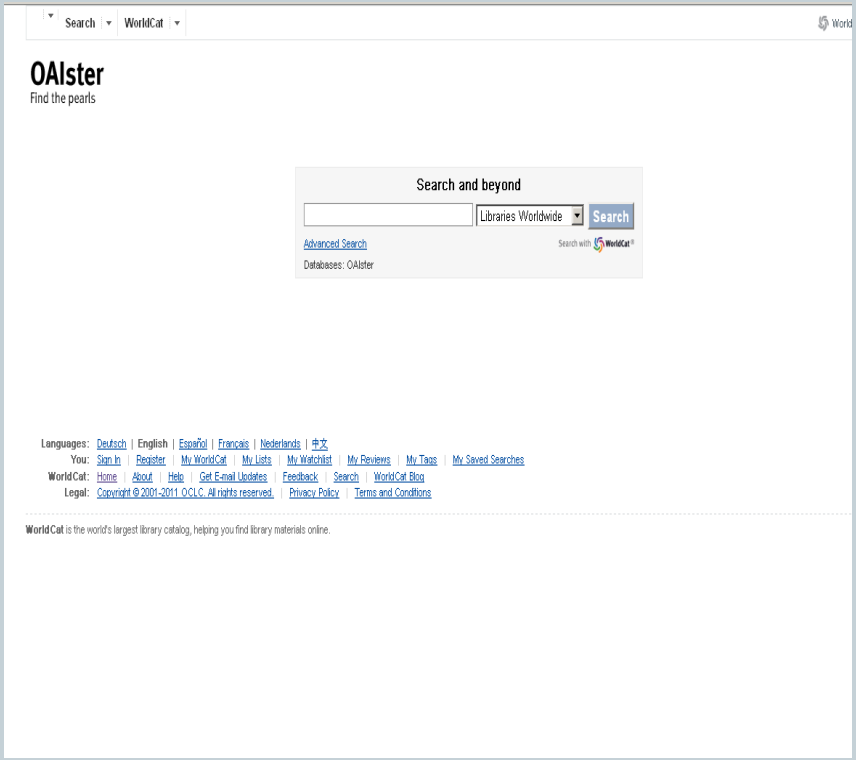


ETD Metadata

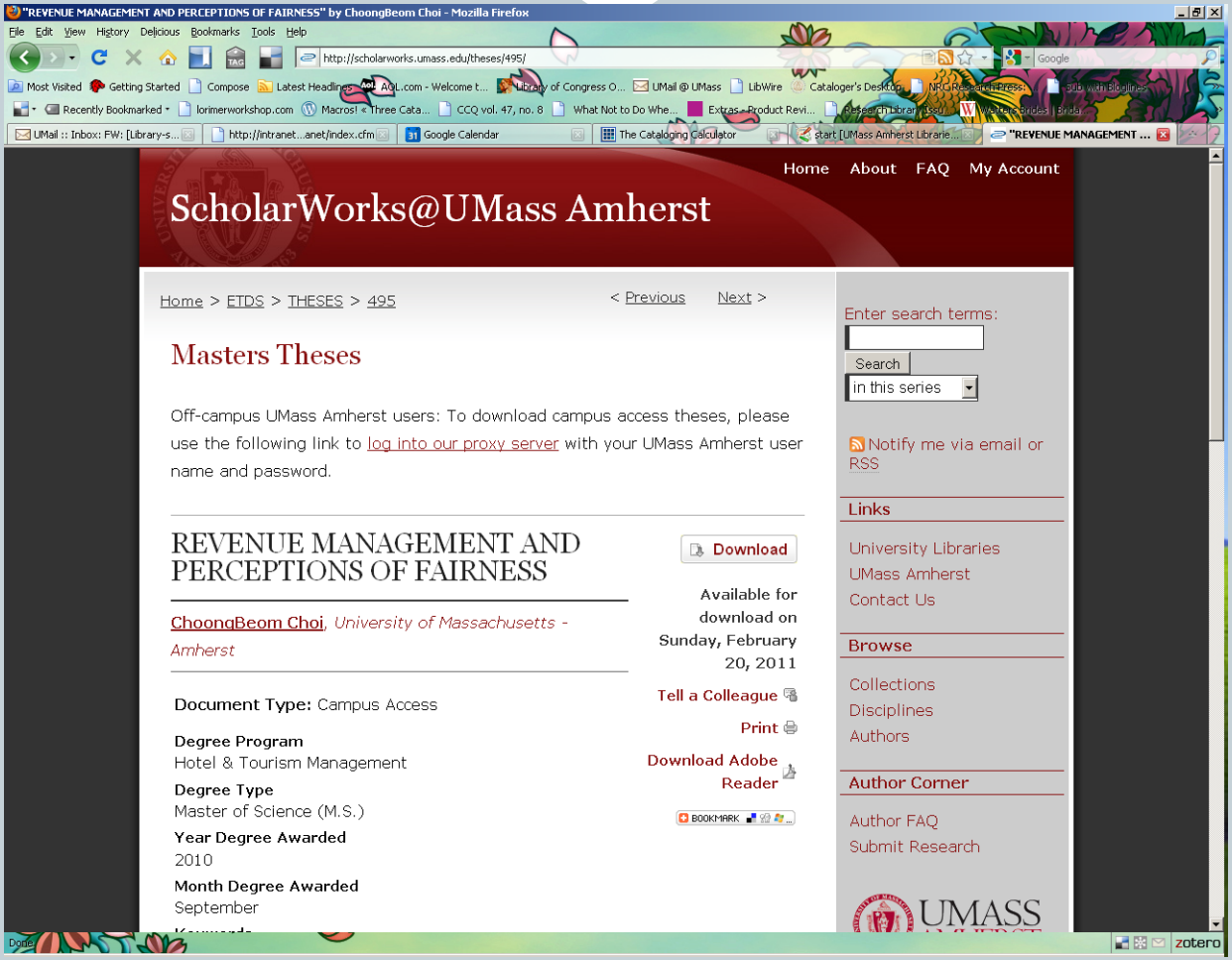


Benefits: Ability to have ETD metadata harvested





Benefits: Control over Access Options and Embargoes



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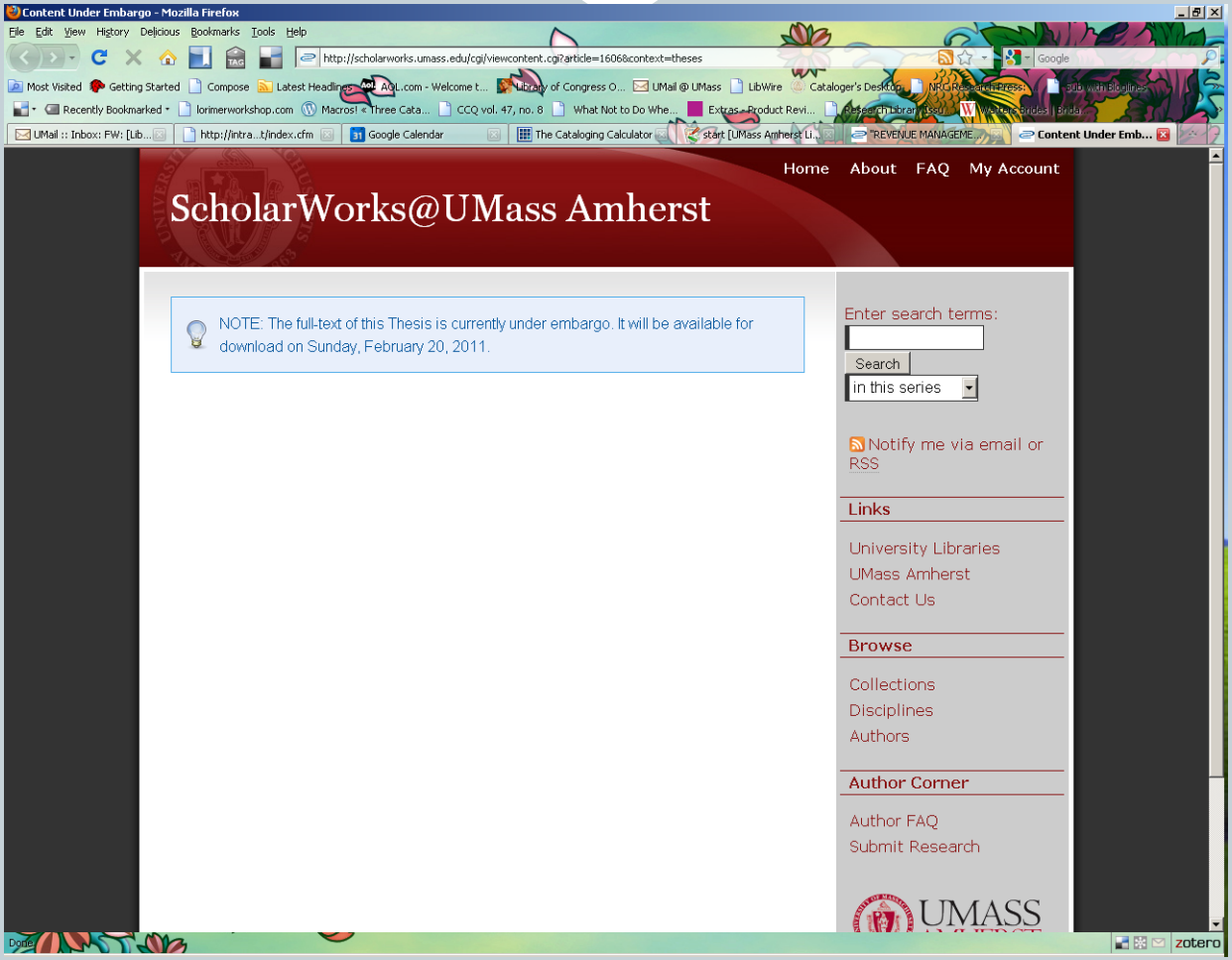
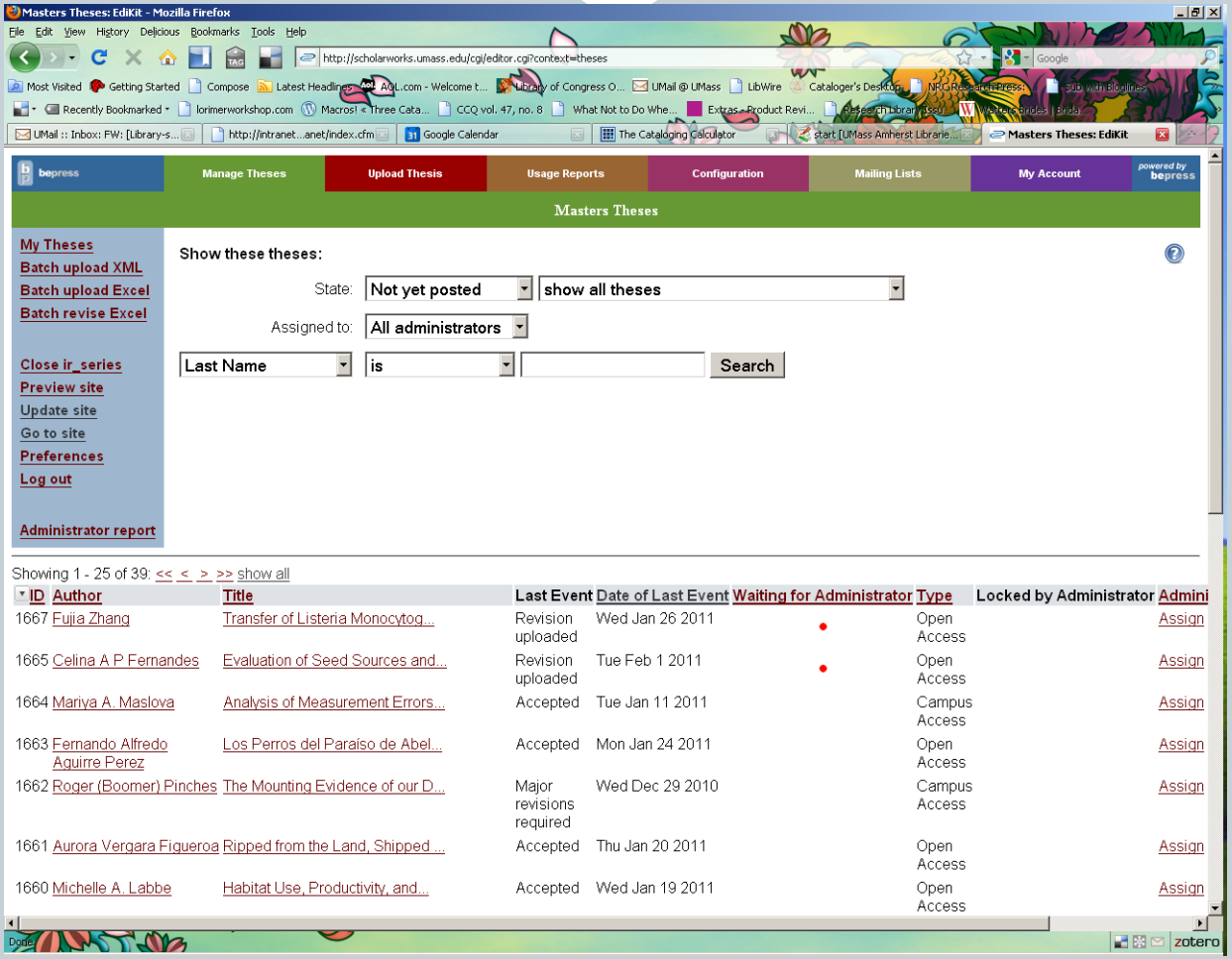
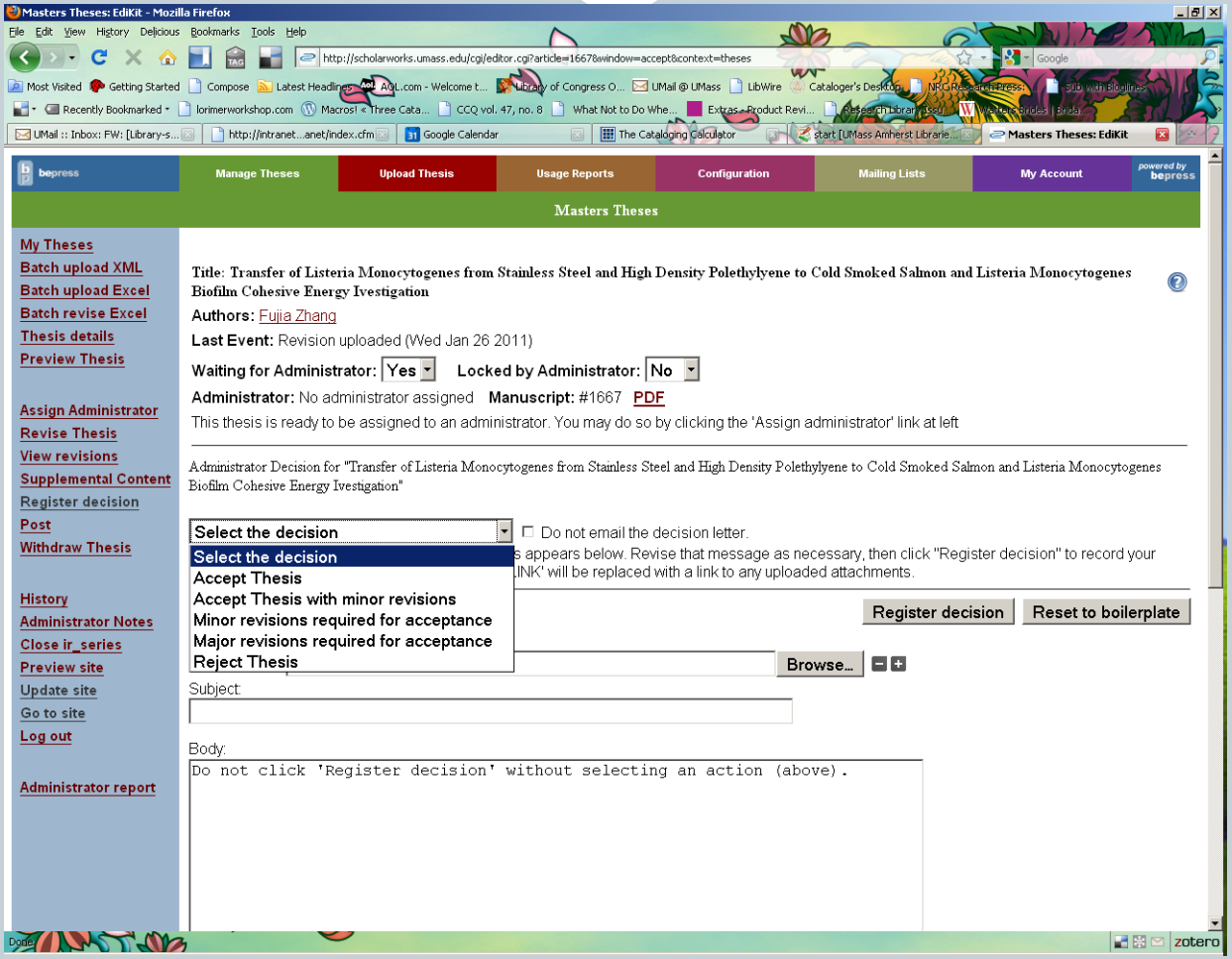


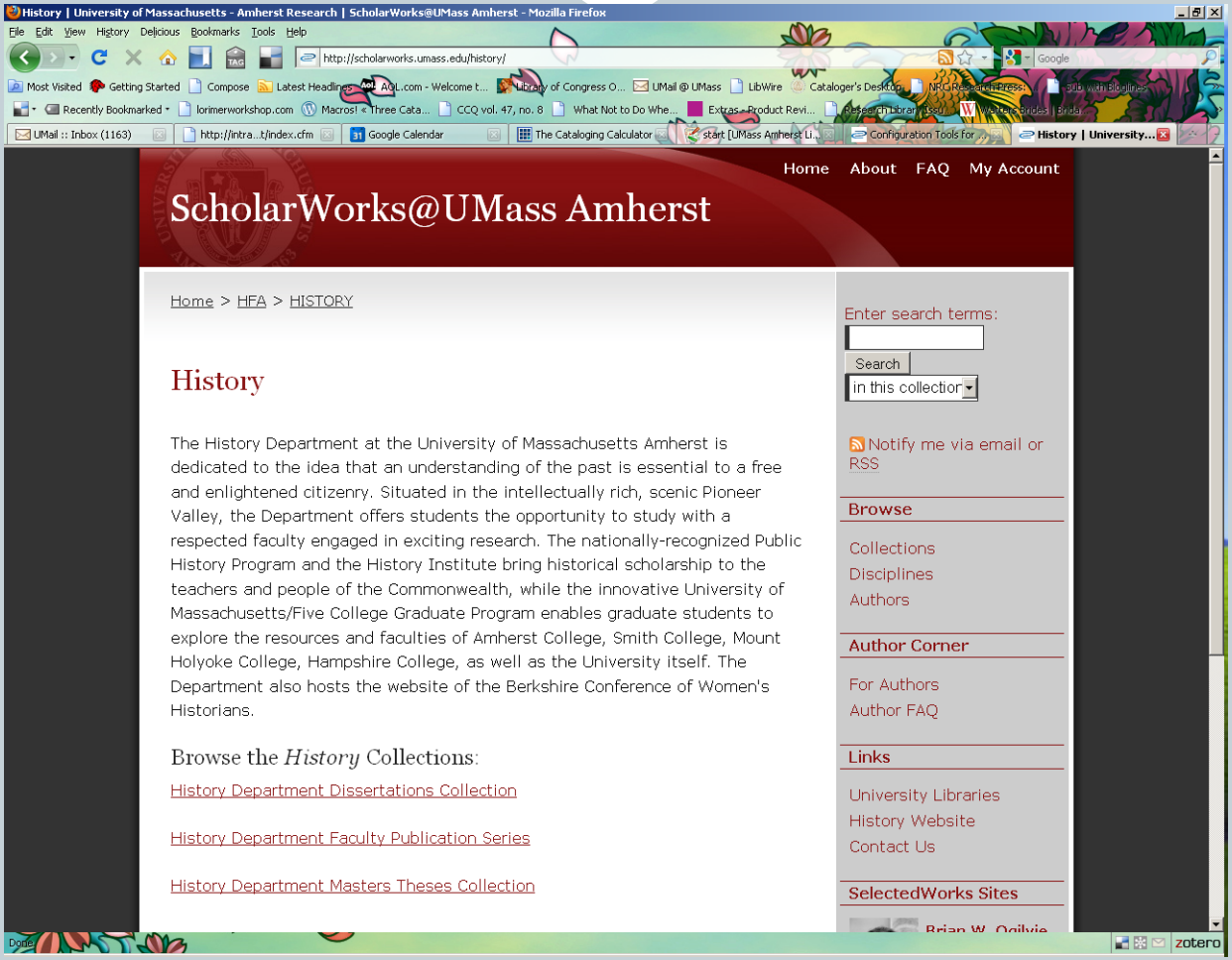
Benefits: Simple Review System for Use by the Grad School



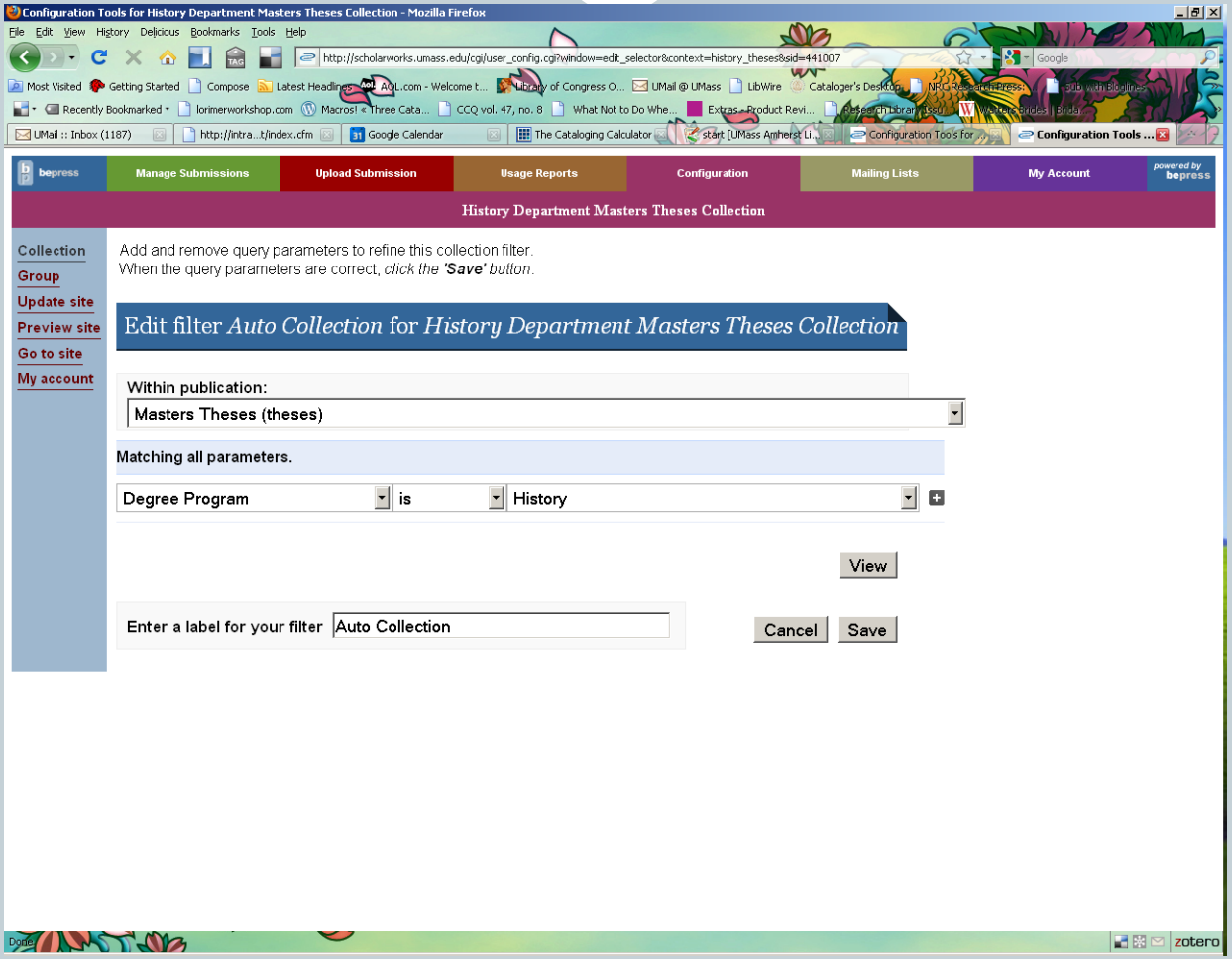
Review System (Continued)



Benefits: Organize ETDs the way we want



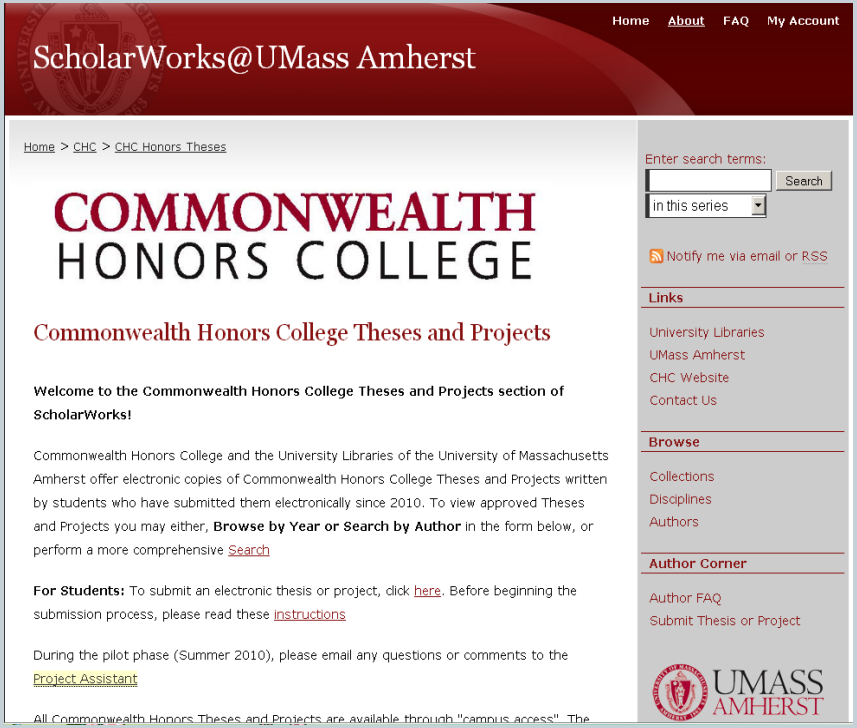
Benefits: Organize ETDs



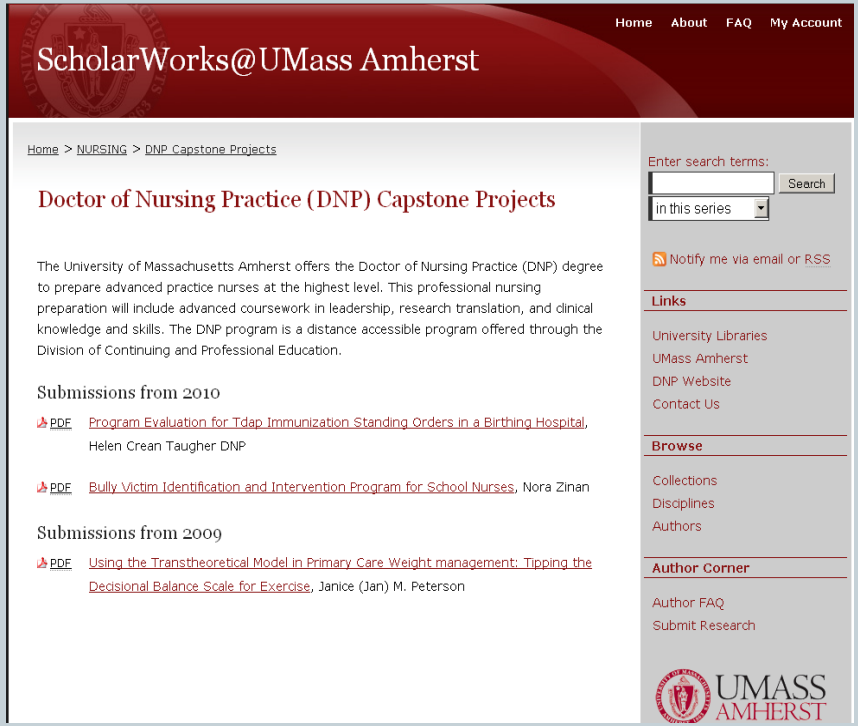
Benefits: RSS Feeds

Benefits: Flexibility to Branch Out

Undergraduate Honors Papers



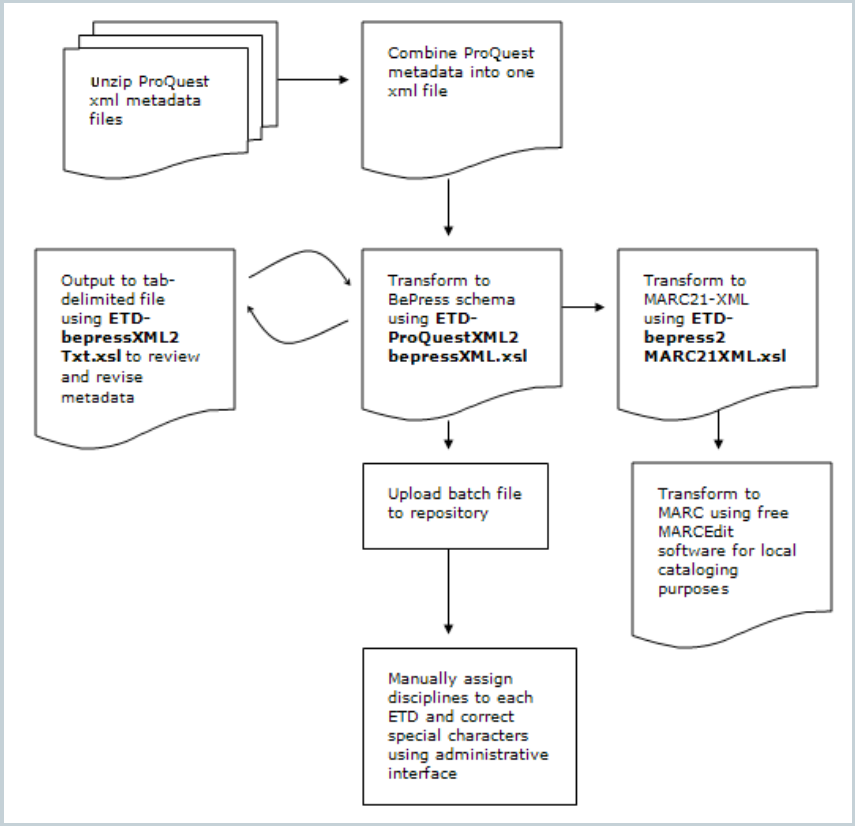
Nursing Capstone Projects



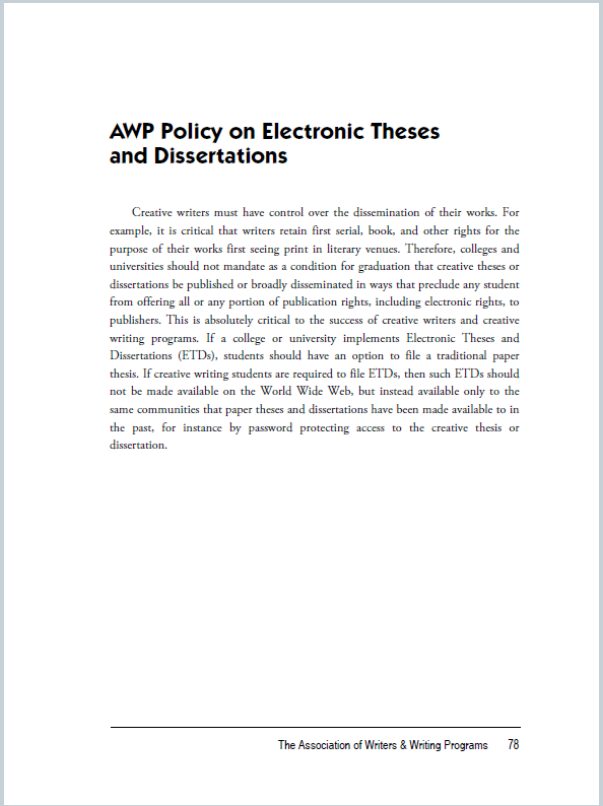
Benefits: Attracting Faculty Content

Challenges

Complicated workflows



Objections to open access



AWP Policy on Electronic Theses and Dissertations

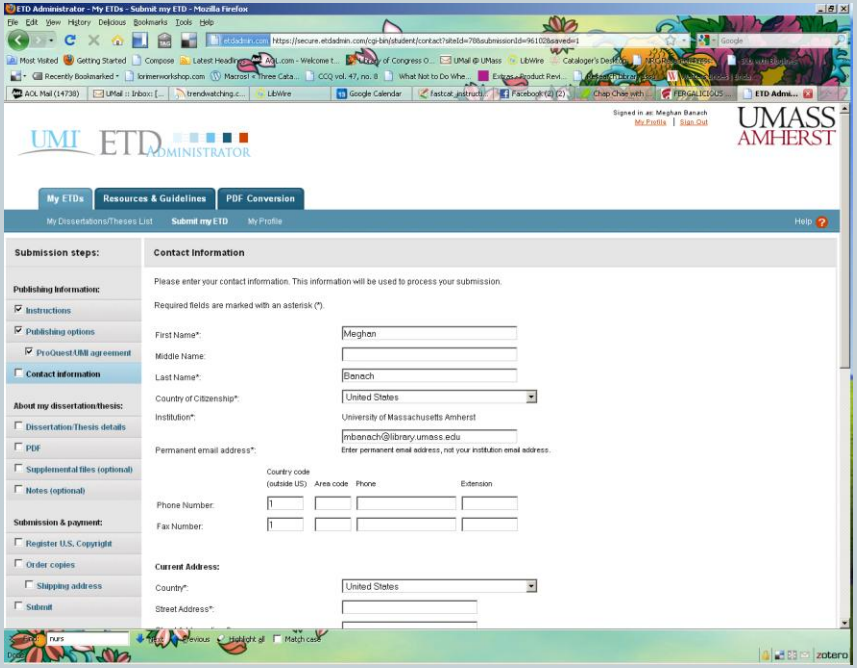
Creative writers must have control over the dissemination of their works. For example, it is critical that writers retain first serial, book, and other rights for the purpose of their works first seeing print in literary venues. Therefore, colleges and universities should not mandate as a condition for graduation that creative theses or dissertations be published or broadly disseminated in ways that preclude any student from offering all or any portion of publication rights, including electronic rights, to publishers. This is absolutely critical to the success of creative writers and creative writing programs. If a college or university implements Electronic Theses and Dissertations (ETDs), students should have an option to file a traditional paper thesis. If creative writing students are required to file ETDs, then such ETDs should not be made available on the World Wide Web, but instead available only to the same communities that paper theses and dissertations have been made available to in the past, for instance by password protecting access to the creative thesis or dissertation.

Possible solutions: Complicated Workflows

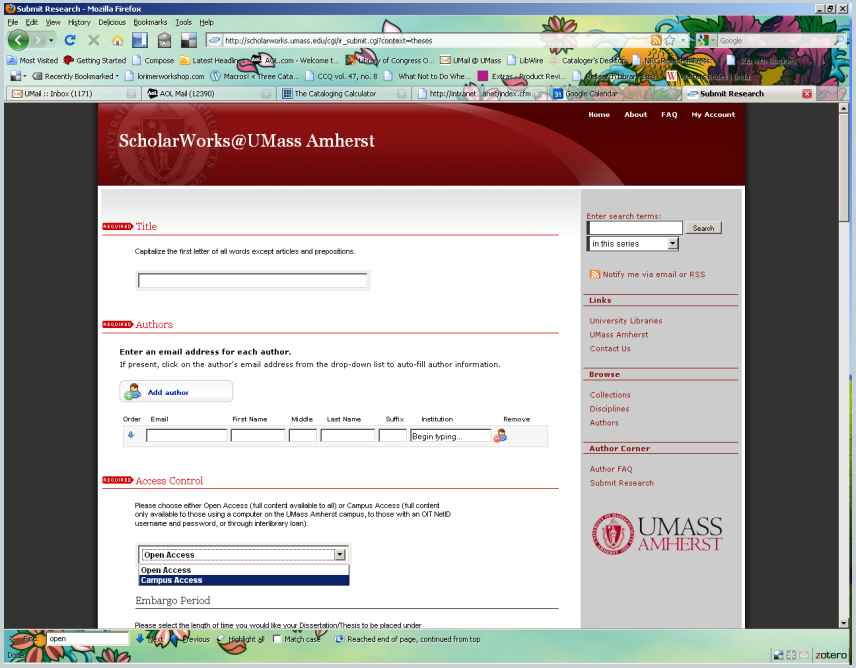
- Students submit ETDs to IR only
- ETDs are not sent to Proquest

Possible Solutions: Complicated Workflows

Students submit to Proquest



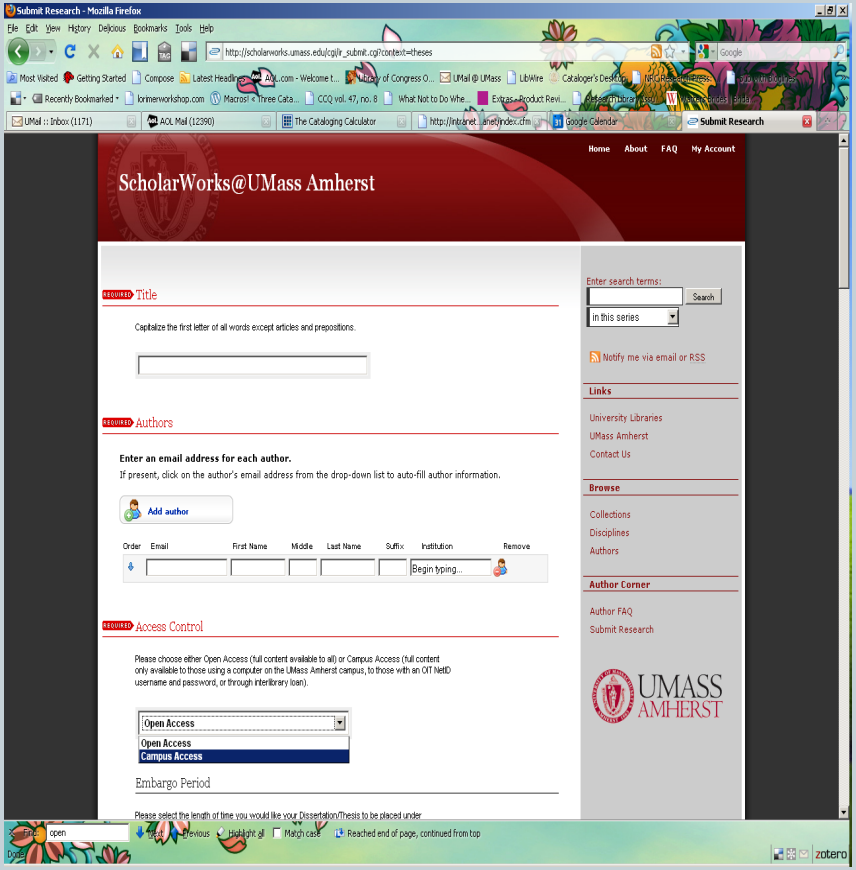
And to the IR



Possible Solutions: Complicated Workflows

- Students submit ETDs to IR only
- Transform metadata to Proquest schema
- Send ETD files and transformed metadata to Proquest via FTP

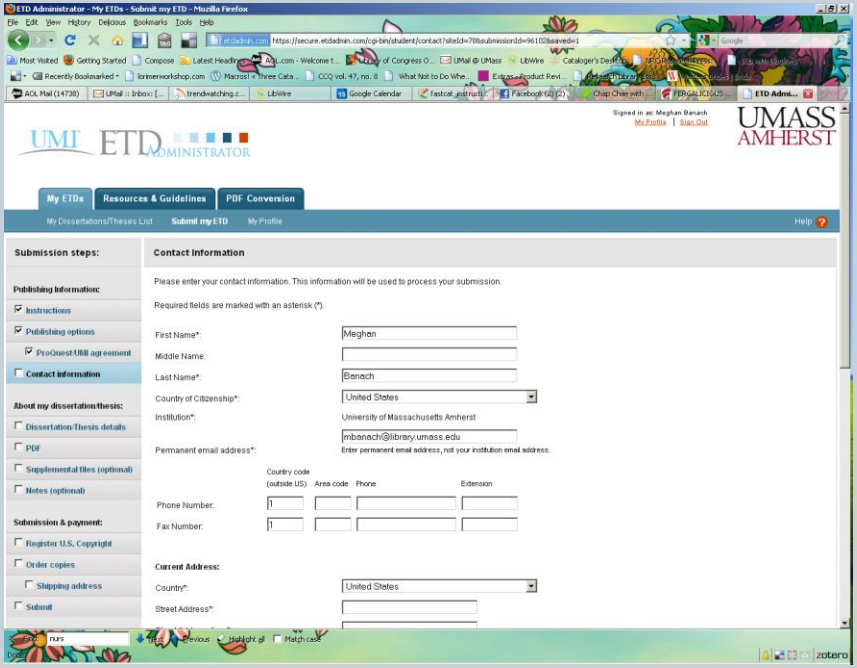
*Must pay a $25 per title submission fee to Proquest

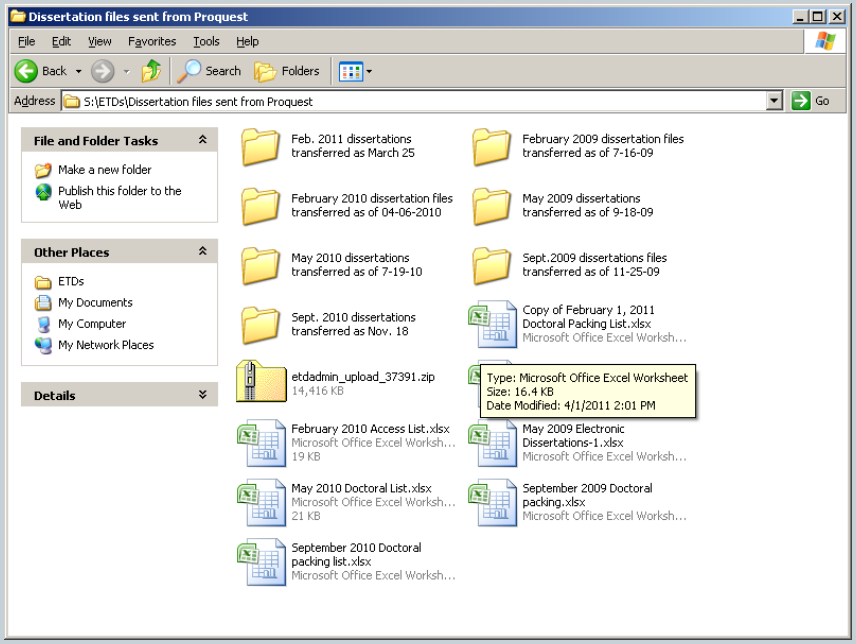


Possible Solutions: Complicated Workflows

Students submit to Proquest

Proquest FTPs ETDs back to institution
Institution manually uploads files to IR



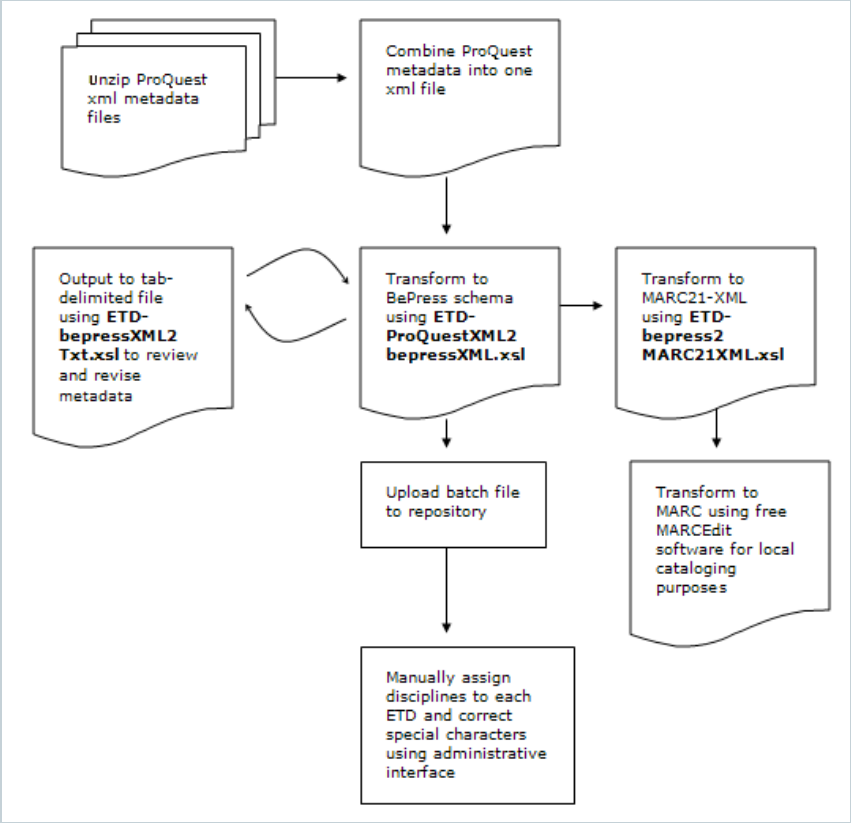


Possible Solutions: Complicated Workflows

- Students submit ETDs to Proquest
- Proquest FTPs ETDs and metadata back to institution
- Library staff upload ETD files and metadata to IR with an automated batch process
- Process described in this Code4Lib article:

  Repurposing ProQuest Metadata for Batch Ingesting ETDs into an Institutional Repository

  http://journal.code4lib.org/articles/1647



Possible Solutions: Objections to Open Access

- Scholarly communications program to promote the benefits of open access, author rights, and open access repositories to:
  - Grad Students
  - Grad School administrators
  - Faculty
  - Faculty Senate Committees
- Embargoes
- Campus access option
- Paper submissions for creative writing ETDs
- Educate faculty and graduate students about the consequences of embargoes and campus only access
- Share best practices for implementing embargoes with Grad School administrators

Promoting Open Access to the Grad Students

- Workshops each semester on the benefits of open access
- Encourage choosing embargoes over campus access
- Currently we get about 60% open access and 40% campus access
- 25% of students choose embargoes
- Goal is to increase the percentage of open access ETDs

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Comments? Questions?

Thank You for Your Attention!

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