Open Access ETDs: What Roles Do Libraries Play?

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Outline

1. About UC Davis
2. Open access ETDs: what roles do libraries play?
   - publish
   - discover
3. Questions and group discussions
About UC Davis

Part I
Branding colors

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<tr>
<td>K = 34</td>
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Theses and Dissertations at UCD

- 1960-1977: print copies
- 1978-2003: print + microfiche copies
- 1997-2010: print + digitized copies
  - (full-text of doctoral dissertations & abstract of master's theses)
- 2008-2010: electronic theses and dissertations (pilot)
- 2010 - : electronic theses and dissertations (mandatory)
  - quarterly (March, June, September, December)
ETDs Workflow at UC Davis

1. Submit ETD
2. Review, approve, submit (Office of Graduate Studies)
3. UMI ETD Administrator
4. Library Server
5. Cataloger
6. OA UC e-Scholarship
7. ProQuest Dissertations & Theses
Open access EDTs: what roles do libraries play?

Part II
ETDs Landscape

- Prepare
  - graduate Students
  - advisors
  - university administrators

- Discover
  - users
  - on campus
  - around the world

- Publish
  - institutional repositories
  - 3rd party services

- Process
  - describing
  - depositing
  - preserving

- Libraries

- ETDs Landscape
  - Open access
  - Delayed open access
  - Restricted access
  - Permanent embargo
Focus of my presentation

- Users
  - On campus
  - Around the world

- Institutional repositories
- 3rd party services

Libraries

ETDs

Publish

Discover
Publish

Part II-A
“Open Access within the context of graduate works must consider both the promise and pitfalls of this emerging mode of scholarly publishing, while also demonstrating sincere appreciation for students’ rights, values and needs.”

Open Access – Libraries’ Role

Supporting this publishing mode by:
1. presenting information about open access
2. raising awareness of creative commons licenses
3. doing more researches

Emphasizing “supporting” will help avoid the misperception that librarians’ motivations for open access ETDs are to populate their otherwise-vacant institutional repositories.
Role #1&2 - OA and CC Licenses

• Utilize LibGuide
  o Arizona State University Libraries:
    http://libguides.asu.edu/scholcomm
  o Boston College University Libraries
    http://libguides.bc.edu/content.php?pid=47385&sid=388778

• Provide in-depth analysis of publishers’ policies
  o MIT Libraries

• Celebrate Open Access Week
  o inviting faculty and OA experts to share their knowledge
  o need more ideas:
    http://oad.simmons.edu/oadwiki/Events_celebrating_Open_Access_Week
Role #3 - Conduct More Researches

Purposes:
• to show impact of open access ETDs
• to help address students’ and faculty’s concerns that open access may diminish publishing opportunities
Research - the Impact of OA ETDs

• Analyze usage data
  o number of downloads
  o highlight the most popular ETDs (e.g., top 10, 50, 100, etc.)
  o ETD access by domain
    • geographic, type of entities (edu, gov, com, etc.)
  o if possible
    • mentions in social media
    • usage difference: “campus access-only” -> open access
    • compare circulation of paper theses with EDTs (WVU’s ETDs are accessed 145,000% more: http://thesis.wvu.edu/wvu_etd/presentations)

Why do libraries need to do this?
  o provide evidence that OA potentially help increase the visibility and influence of students’ research
  o illustrate that OA potentially help increase university’s profile and affect its impact and ranking
Research - OA ETDs ≠ Prior Publications?

Several surveys about publishers’ and editors’ attitudes toward ETDs have been done. The findings from the most recent research by Gail Mcmillan, et. al. showed

- 90% of journal editors welcome OA ETDs
  - “Always welcome”(66%); “Case-by-case”(18%); “If very Different”(6%)
- 81% of university press directors may accept OA ETDs
  - “Always welcome”(10%); “Case-by-case”(44%); “If very Different”(27%)
- Only university presses find access restrictions necessary

Suggestion: libraries may consider to do similar research in different countries and for different subject areas.
Discover

PART II - B
Discovery of OA ETDs

Libraries can facilitate the discovery of their own institution’s open access ETDs by:

- creating high quality metadata
- adopting an institutional repository platform that is compliant with the OAI-PMH protocol. For example: DSpace, Digital Commons, eprints, ETD-db, and ContentDM
- registering with the open access ETD repositories at international, national, and regional level
- exploring linked data services for theses and dissertations
Example #1

- Open Access Theses and Dissertations (http://oatd.org/)
  - OATD currently indexes over 1.75 million theses and dissertations that are freely available online

What to do?
- make sure your institution repository platform’s OAI-PMH harvesting is enabled
- send the OAI’s base URL to Thomas Dowling (dowlintp@wfu.edu)

Note: a use case of this discovery service will be presented at this conference on Wednesday afternoon
Discovery of OA ETDs – International (2)

Example #2

• NDLTD Union Catalog (http://www.ndltd.org/find)
  o contains more than one million records of ETDs (both OA and non-OA)
  o offers two search interfaces:
    • Scirus ETD Search: comprehensive search tool to provide access to theses and dissertations as well to related scholarly resources
    • VTLS Visualizer

What to do?

• register your OAI interface with the NDLTD by emailing your institution’s OA base baseURL to hussein@cs.uct.ac.za
• specify your metadata formats and sets (your metadata will be harvested on a periodic basis into the OAI-based Union Archive maintained by NDLTD)
Discovery of OA ETDs - National

A few examples presented at this conference

• Theses Canada (Wednesday afternoon)
• Biblioteca Digital de Teses e Dissertações (Wednesday afternoon)
• Indian National ETD repository i.e., SHODHGANGA (Wednesday afternoon)
• China Academic Library and Information System (CALIS) (Thursday morning)
• National Digital Library of Theses and Dissertations in Taiwan (Thursday morning)
Discovery of OA ETDs - Regional

Dissertations and Theses Collections (DTC) is an online union collection of Hong Kong and Macau postgraduate students’ doctoral and master dissertations and theses indexed in the library catalogues or institutional repositories of eight Hong Kong and Macau universities.

These eight libraries are:

1. Chinese University of Hong Kong (CUHK),
2. City University of Hong Kong (CityU),
3. Hong Kong Baptist University (HKBU),
4. Hong Kong Polytechnic University (PolyU),
5. Hong Kong University of Science & Technology (HKUST) [Free Full Text],
6. Lingnan University (LU) [Free Full Text],
7. University of Hong Kong (HKU) [Free Full Text],
7. University of Macau (UM).
Why Linked Data Services for ETDs?

Benefits (a few examples):

- to maximize discovery of ETDs (theses.fr: http://www.theses.fr/)
- to enable name authority control within an institutional repository (by linking to LC Subject Headings and Authorities, the Virtual International Authority File)
- to enable linking to the research data collected and used by students while doing their thesis research, or supplemental material of ETDs, e.g. video and multimedia, images, spreadsheets, music, etc.

What to do?

- ETDs community work together to build standardized vocabularies and data model (one example provided in next slide)
- promote the use of unique identifiers for ETD authors, such as International Standard Name Identifier (ISNI)

Learn more:

- Michigan University Libraries: will be presented at this meeting on Thursday morning
- Oregon State University Libraries: http://scholarsarchive.library.oregonstate.edu/xmlui/handle/1957/32977
Basic Thesis Data Model

Questions and Group Discussions

PART III