

# Open Access to Electronic Theses and Dissertations: What's Right for Me

Dr. Belinda Patterson, Assistant Dean, ECU Graduate  
School

Jan Lewis, Associate Director, Academic Library  
Services

October 19, 2009

# Open Access to ETDs: What's Right for Me: What We'll Cover

- History of electronic theses and dissertations (national & at ECU)
- UMI & ECU Publishing Agreements/Licenses
- What is Open Access
- Advantages/Concerns with Open Access
- How to Choose Between OA and Traditional
- ECU's Submission Process
- How to find open access ETDs

# History of ETDs in the U.S.

- 1987: ETDs were first discussed publicly at a workshop hosted by UMI, held at Virginia Tech.
- Early 1990's: Adobe Acrobat software was developed, supporting the creation of PDF files.
- Mid to late 1990's: Universities begin to offer voluntary electronic submission. Va. Tech: 1995; NCSU: 1997.
- Late 1990's: First schools began requiring electronic submission. Va. Tech: 1997; WVU: 1998
- 2000-09: More schools required electronic submission: NCSU: 2002; UNCG: 2006, UNC-CH: 2008

# History of Electronic Submission at ECU

- ETD Task Force Organized Spring 2007
- Group's Recommendations Approved by Graduate School Administrative Board
- Test of Submission Site - Spring 2008
- Pilot Study Fall 2008
- Voluntary Electronic Submission Spring and Fall 2009
- Mandatory Electronic Submission Spring 2010

# Background of UMI/ProQuest

- ECU, like over 700 other institutions worldwide, publishes its theses and dissertations through the UMI/Proquest Dissertation Publishing Program
- Graduate work archived both in microform and digitally
- Dissertations and theses are listed in the ProQuest Dissertations and Theses database
- UMI/Proquest serves as Library of Congress' official offsite repository for dissertations and theses in digital format

# Proquest/UMI Publishing Agreements

- Traditional Publishing
  - Sales and Royalties
- Open Access
- Embargoes & Restrictions
  - Delayed Release of Full Text
    - Six months
    - One year
    - Two years

# What is Open Access?

- Freely available
- Immediate (can be subject to an embargo)
- Permanent
- Full-text
- Online
- Access

\*Credit: Steven Harnad, Integrating Universities' Thesis and Research Deposit Mandates, ETD 2009

# ECU Institutional Repository License

- Grants ECU a non-exclusive license to reproduce and distribute thesis or dissertation
- Verifies publishing option selected with ProQuest
- Informs institutional repository administrator of any embargo and its length



# Why Open Access?

- Underlying principle: Publication of the thesis or dissertation is a requirement for graduation.
- Open access ensures that the knowledge created by the student while at the university is added to the body of scholarly knowledge.
- Open access removes artificial barriers of time and place associated with paper T/Ds housed in the library or academic department.

# Advantages of Open Access ETDs

- Help students promote their scholarly work and build their reputation
  - Better visibility and “findability” through searches in Google, Scirus and other search engines
  - Ability to provide colleagues or prospective employers with a stable URL for the T/D
  - Permanent free archiving in the university’s institutional repository

# Advantages of Open Access ETDs

- Supports ECU's leadership in distance education.
- Helps with faculty and student recruitment – ability to show the quality research being done at ECU and our commitment to dissemination
- Students become familiar with electronic publishing and scholarly communication issues, including copyright management

# Increased Sharing of Knowledge

- University of Nebraska found a 60-fold increase in use of open access dissertations, compared to ones that were not open access.
- West Virginia University's ETDs are accessed 145% more than their printed counterparts
- Open access ETDs will help meet the UNC Tomorrow recommendation that "UNC should apply, translate, and communicate research and scholarship to broader audiences."

# Concerns Associated with ETDs

- Prior publication / Patent Concerns
  - Students should investigate specific publishers' policies before submitting the ETD ([Sherpa/RoMEO](#) database collects publishers' copyright policies). Also check “Instructions for Authors” or “Copyright Information” on the specific journal's web site.
  - Publisher surveys and alumni experiences find few problems with ETDs
  - Usually, concerns can be addressed through the use of embargos – periods of time before the full-text of the ETD is made available to the public. Students have the ability to select from a range of embargo periods.

# Open Access ETDs: Concerns

- Copyright management
  - Students who will use in their ETDs materials that have previously been published as journal articles and book chapters may need to make arrangements with their editors or publishers to reuse this material. (This is true also for traditional publishing, but it was harder to track usage of copyrighted materials.)
  - The [SPARC Author Addendum](#) is one example of a legal instrument that modifies the publisher's standard agreement and allows authors to keep key rights to their articles.

# Open Access ETDs: Concerns

- Copyright management
  - Students need to get permission to include images, diagrams, test instruments and surveys that came from other sources, if not covered by the fair use exception.
- Royalties
  - Proquest distributes royalties based on sales of theses/dissertations. Open access may undercut the sale of the dissertation; on the other hand, it may show a demand for the material that can lead to a book contract.

# Open Access vs. Traditional Publishing—How do I choose?

- Seek the advice of your advisor, committee chair, mentors in your field to determine the sentiments of your discipline either for or against open access publishing
- Check restrictions of funding source
- Patent pending or patentable rights in the work?
- Content likely to be submitted to peer-reviewed journal?
- Interest or potential interest by an academic or commercial press in publishing your work as a book ?
- Ethical need to prevent disclosure of sensitive information?



# ETD Submission Process at ECU

- Process begins after successful defense
- Select Publishing Agreement in consultation with committee
- Submission site: <http://www.etdadmin.com/ecu>
- Submit ECU Non-Exclusive Distribution License to Graduate School
- Format & Content Review and Approval by Graduate School
- Once approved by Dean and graduation is verified, document submitted to Proquest/UMI and Joyner Library with publishing selections

# How are OA ETDs Accessed?

- Google / Google Scholar / Other Search Engines
- Institutional Repositories (The ScholarShip @ ECU)
- PQDT Open (\$95 charge to the graduate student for the cost of Proquest hosting the student's work for online public access)

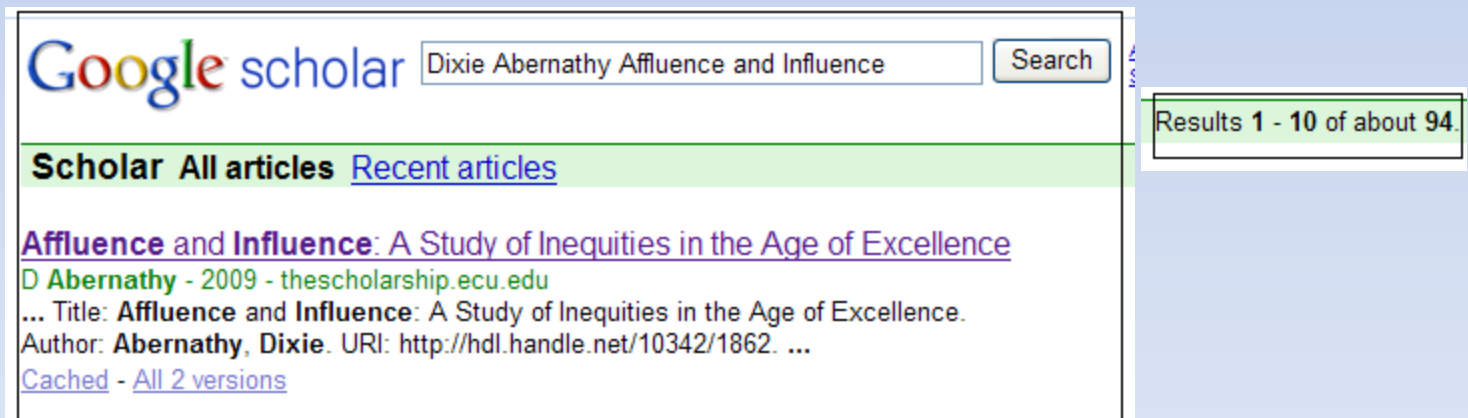
# Google & Google Scholar



Google   [Advanced Search](#)

Web [+ Show options...](#) Results 1 - 10 of about 4,300 f

**Affluence and Influence: A Study of Inequities in the Age of ...**  
Title: **Affluence and Influence: A Study of Inequities in the Age of Excellence.** Author: **Abernathy, Dixie.** Date: 2009. URI: <http://hdl.handle.net/10342/1862> ... [thescholarship.ecu.edu/handle/10342/1862](http://thescholarship.ecu.edu/handle/10342/1862) - [Cached](#) - [Similar](#)  
by D Abernathy - 2009

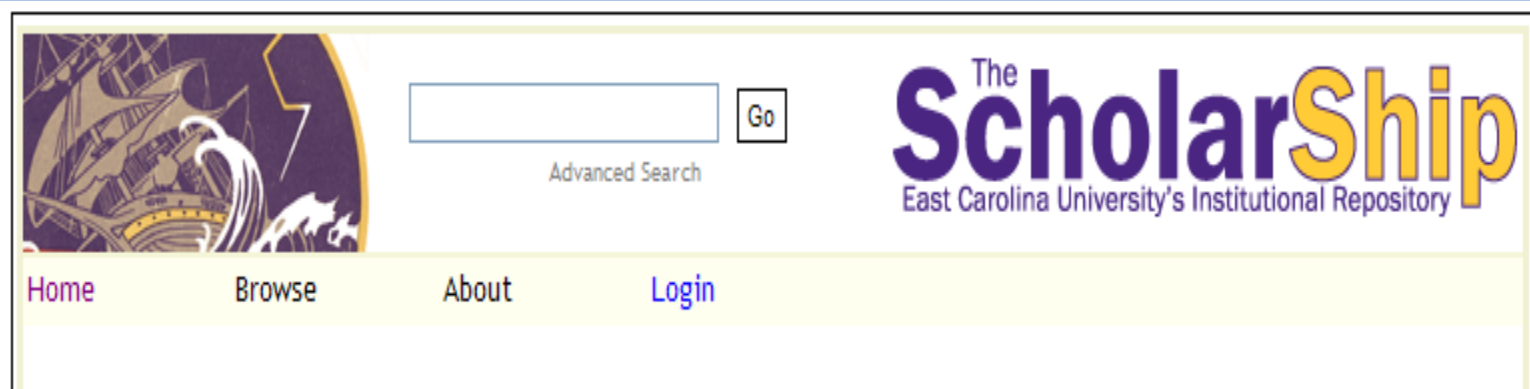


Google scholar   [Results 1 - 10 of about 94](#)

**Scholar** [All articles](#) [Recent articles](#)

**Affluence and Influence: A Study of Inequities in the Age of Excellence**  
[D Abernathy](#) - 2009 - [thescholarship.ecu.edu](http://thescholarship.ecu.edu)  
... Title: **Affluence and Influence: A Study of Inequities in the Age of Excellence.**  
Author: **Abernathy, Dixie.** URI: <http://hdl.handle.net/10342/1862>. ...  
[Cached](#) - [All 2 versions](#)

# ECU's Institutional Repository



The header of the ECU's Institutional Repository website. On the left is a logo featuring a ship's mast and a lightning bolt. In the center is a search bar with a "Go" button and the text "Advanced Search" below it. On the right is the logo for "The ScholarShip", with "The" in small blue text, "Scholar" in large blue text, and "Ship" in large yellow text. Below the logo is the text "East Carolina University's Institutional Repository". At the bottom of the header are navigation links: "Home", "Browse", "About", and "Login".

## Recent Submissions



Thesis

[5'-AMP-Activated Protein Kinase and Eukaryotic Elongation Factor 2 Response to Resistance Exercise in Young Versus Old Men and Women](#)

Harper, Bradley. 2009

Exercise and Sport Science



Dissertation

[Affluence and Influence: A Study of Inequities in the Age of Excellence](#)

Abernathy, Dixie. 2009

Educational Leadership

# PQDT Open

**Results** Looking for more? [ProQuest® Dissertations & Theses](#) has additional dissertations and theses.

4 open access dissertations and theses found for:

*east carolina university and sch(east carolina university)* » [Refine Search](#)

1 - 4 of 4 displayed.

Sort by: R

1. [5-AMP-activated protein kinase and eukaryotic elongation factor 2 response to resistance exercise in young versus old men and women](#)  
by Harper, Bradley M., M.S. East Carolina University. 2009: 97 pages; AAT 1467707.  
[Abstract](#) | [Full Text - PDF \(2.22 MB\)](#)
2. [Functional aging of the inner ear sensory systems in mouse models of age-related hearing loss](#)  
by Mock, Bruce E., Ph.D. East Carolina University. 2009: 254 pages; AAT 3338787.  
[Abstract](#) | [Full Text - PDF \(5.07 MB\)](#)
3. [The distribution of regulated actomyosin states is central to cardiac muscle regulation and disturbance of this distribution leads to congenital cardiomyopathies](#)  
by Mathur, Mohit C., Ph.D. East Carolina University. 2009: 172 pages; AAT 3368944.  
[Abstract](#) | [Full Text - PDF \(7.74 MB\)](#)
4. [What is good nursing care? The lived meaning of quality nursing care for practicing nurses](#)  
by Burhans, Linda Maas, Ph.D. East Carolina University. 2008: 151 pages; AAT 3303665.  
[Abstract](#) | [Full Text - PDF \(5.14 MB\)](#)

Questions?

Contact us:

Belinda Patterson:

[pattersonb@ecu.edu](mailto:pattersonb@ecu.edu) / 328-5792

Jan Lewis: [lewisja@ecu.edu](mailto:lewisja@ecu.edu): 328-2267