

Impact of Publishers' Policy on Electronic Thesis and Dissertation (ETD)

Distribution Options within the United States

A dissertation presented to
the faculty of
the College of Education of Ohio University

In partial fulfillment
of the requirements for the degree
Doctor of Philosophy

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June 2010

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This dissertation titled
Impact of Publishers' Policy on Electronic Thesis and Dissertation (ETD)
Distribution Options within the United States

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ABSTRACT

MCCUTCHEON, ANGELA M., Ph.D., June 2010, Curriculum and Instruction, Instructional Technology. Impact of Publishers' Policy on Electronic Thesis and Dissertation (ETD) Distribution Options within the United States (226 pp.)

Director of Dissertation: David R. Moore

The purpose of this study was to determine if large circulation journal publishers were rejecting articles submitted for publication because the submitted articles were derived from Electronic Theses and Dissertations (ETDs). In this study, 403 universities were found to file ETDs in university repositories or in the ProQuest/UMI commercial repository. ETD university personnel were surveyed online and asked to report the number of graduate student alumni who reported publisher rejections for articles submitted for publication, because the articles were derived or taken directly from ETDs. In addition, other data were collected from ETD university personnel regarding ETD program policies and practices to determine if these policies and practices influenced the number of publisher rejections.

The results of this study show that two ETD universities reported three publisher rejections for articles that were submitted for publication because the articles were derived from ETDs. Since a small number of ETD universities personnel reported publisher rejections (1.8% = 2 universities/109 responses), ETD university policies and practices were examined to determine if they were assisting students in avoiding publisher rejections.

Several ETD program policies and practices are aiding students in avoiding publisher rejections. The ETD university distribution options and publication delays offering were flexible enough to allow students to publish from their theses and

dissertations even when the students selected the wrong distribution option at the time of graduation. ETD universities within the United States appear to be doing exceptional job at assisting students in publishing articles and books that have been derived from ETDs.

Current ETD programs can move forward with confidence that they have found ways to assist students in avoiding publisher rejections through the types of distribution options offered, publication delays, and through the flexibility in changing distribution options for graduate student alumni when they have difficulties publishing from their ETDs. They can also feel more at ease that publishers appear to be considering ETDs pre-prints in many cases. Yet, ETD universities should remain aware that many publishers are resistant to allowing students to place previously published articles inside their ETDs.

Approved: _____

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To my large, loving and supportive family

ACKNOWLEDGMENTS

I would like to acknowledge the faculty of the Department of Educational Studies and the College of Education staff for their exceptional instruction and guidance. I would like to especially acknowledge to my advisor, Dr. David R. Moore and College of Education committee members, Dr. Valerie Martin Conley, Dr. George Johanson and Dr. Candice Maddox. A special thank you goes to John Hagen (of West Virginia University), who sat on my committee as an External Reviewer, for his exceptional guidance regarding ETDs, library technologies and support throughout this research project.

I would also like to acknowledge my parents, family and friends who have supported me throughout my educational studies and career, especially my parents, who have been a great source of wisdom and pride for me. I could not have come so far without their loving support and encouragement. And most importantly, thank you Lord, for the great support you provide me daily and the awesome opportunities you have afforded me to learn and teach throughout my career in higher education. May I always be a trusting and faithful servant.

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CHAPTER 1: INTRODUCTION

It almost seems that overnight we have awakened from a well-defined print world to this electronic universe and, though dazed and incredulous, are struggling to make some sense of it. (Moxley and Weisser, 2002, p. 1)

The purpose of this study was to determine if large circulation journal and book publishers were rejecting articles submitted for publication because the submitted articles/books were derived from Electronic Theses and Dissertations (ETDs). Electronic Theses and Dissertations (ETDs) have been improving access to graduate research since 1997. With ETD technologies, universities are increasing access to theses and dissertations through the Web, students are experiencing higher citation rates (Harnad, 2009), students are increasing their use of multimedia applications, and universities and students are lowering print costs.

In addition to ETD advantages are new challenges regarding whether publishers will consider ETDs “published works” and reduce graduate student alumni’s ability to publish additional works from their online theses and dissertations (ETDs). ETDs are defined in this study as online full-text theses and dissertations that are free to the public (open access format) and partial-text theses and dissertations that have the first 24-pages for free and the balance for purchase (through the ProQuest/UMI commercial repository).

Since ETDs are still a new genre, scientific research is limited in this area. One of the greatest arguments (with limited research to back its claims) has to do with whether journal and book publishers will accept articles for publication that have been derived or taken directly from ETDs. The purpose of this dissertation is to explore if large circulation journal and book publishers are rejecting articles submitted for publication,

because the articles were derived or taken directly from ETDs filed in universities within U.S.

In this study, several publisher opinion surveys are examined to explore the current trends that may impact the acceptance of articles submitted for publication that have been derived or taken directly from ETDs. In addition, other questions are asked of ETD university personnel to explore the practices used to assist students in publishing from ETDs and avoiding publisher rejections for submitted articles.

In Chapter 2, surveys of publisher opinions and practices regarding online documents are explored. Since the majority of past surveys have focused on publishers' opinions and practices and not on actual publisher behaviors with regard to ETDs, this research project takes a new approach. The study surveys ETD university personnel to determine if graduate student alumni are reporting publisher rejections for articles submitted for publication, because the articles were derived or taken directly from their ETDs.

This chapter includes the following sections: Introduction, Background of the Study, Statement of the Problem, Research Question, Significance of the Study, Limitations and Delimitations, and Definition of Terms.

Background of the Study

Traditional Dissertation Publishing

Due to the high value higher education places on the publishing of doctoral research, many doctoral-granting universities within the U.S. require students to publish their dissertations in Dissertation Abstracts International (DAI) via ProQuest/UMI

(University of Illinois, 2009). Austin McLean, Director of Dissertation Publishing for *ProQuest* Information and Learning, of Ann Arbor, Michigan, states ProQuest/UMI is a company that has provided a central clearinghouse for dissertation publishing within the U.S. since 1939 (personal communication, May 15, 2009). ProQuest/UMI has also accepted master's theses since 1962, "but didn't have a way to distribute them until ProQuest Thesis and Dissertation (PQDT) was launched" in 2006 (A. McLean, personal communication, December 14, 2009). PQDT offers an up-front, fee-based model to authors, which "provides the full text of open access dissertations and theses [to the public] free of charge. The authors of these dissertations and theses have opted to publish [their documents] as open access and make their research available for free on the open Web" at <http://pqdtopen.proquest.com> (PQDT, 2009). Before 1997, ProQuest/UMI's fee-based copies for microfilm, microfiche and print were the primary commercial distribution methods for U.S. dissertation research until 1997 (A. McLean, personal communication, May 15, 2009).

In 1997, ProQuest/UMI began to provide the first 24 pages of dissertations and theses online for free and then began to provide digital full-text access to the document for a fee. This allowed for a larger distribution of doctoral and master's research through the ProQuest/UMI Web site. However, freely distributing thesis and dissertation research worldwide is still limited due to the high cost per copy if purchased through ProQuest/UMI.

Today ProQuest\UMI provides two types of electronic publishing options for the dissertations and theses. The first is called Traditional Publishing where ProQuest/UMI provides the first 24 pages in open access format and the balance of the document for a

fee. The second is called ProQuest Open Access and began in 2006. For an additional fee, ProQuest/UMI will provide the full-text of any dissertation or thesis document in its toll-access repository (PQDT) as open access (www.pqdtopen.com) on the Web indefinitely.

Local Library Thesis and Dissertation Repositories

While many universities in the U.S. today still require doctoral students to publish their dissertations with ProQuest/UMI using the traditional publishing method, many universities are requiring the local library copy (that were once in paper) to be available in full-text, open access format in a university repository. Many institutions allow publication delays or university-only access to allow students time to publish articles or books from their ETDs; however, many universities also require that all documents eventually be placed in open access to increase the distribution of research conducted at the universities.

Moxley (2001) states the preliminary results regarding the cost saving for universities filing ETDs are resoundingly positive—“ETDs save students and libraries money (no binding costs or shelf space), increase readership, and introduce students to electronic publishing” (p. 61). There is typically no fee to the student for a university to place a thesis or dissertation online in the university repository. Some universities are making ETDs mandatory for all graduate students, while other universities allow the student to elect to file electronically or in paper.

In 1997, Virginia Polytechnic Institute and State University (Virginia Tech) was the first university in the world to set up a mandatory ETD program for open access theses and dissertations. While Virginia Tech continued to deposit dissertations into the ProQuest/UMI repository, they also placed theses and dissertations into their own institutional repository in full-text, open-access format on the Web. Before this time, the

only distribution methods for dissertations was with ProQuest/UMI using the traditional paper publishing and print copies of all theses and dissertations in university libraries (or through interlibrary loans). Now, many universities are requiring graduate students to publish the university library copy of the theses or dissertations in an institutional repository in full-text, open-access format on the Web.

Indiana University identifies five advantages to encourage students to deposit their work into their open access repository as shown in Figure 1.

<p>Four reasons to deposit your papers into the IUScholarWorks Repository</p> <ol style="list-style-type: none">1. Increases citation impact<ul style="list-style-type: none">○ Provides increased visibility for your research and your unit, bringing many new readers to your content○ Provides world-wide accessibility via search engines like Google or others. Your content is discoverable from a variety of locations and methods with no extra work on your part○ Provides sophisticated searching, making your materials easy for readers to find2. Guarantees permanence<ul style="list-style-type: none">○ Assigns a stable, permanent URL to your work so readers will always find it3. Ensures quick, efficient archiving of your scholarly work<ul style="list-style-type: none">○ Relieves you and your unit of the responsibility for system maintenance○ Removes information technology barriers4. Meets some grant requirements for dissemination<ul style="list-style-type: none">○ May help fulfill dissemination and data-sharing requirements of federal and other grants, including the NIH data-sharing requirements

Source: Indiana University. Retrieved on December 29, 2009, from <https://scholarworks.iu.edu/docs/repository/fivereasons.shtml>

Figure 1. Four five reasons to deposit your thesis or dissertation online.

What is an ETD?

“ETD” is an internationally recognized acronym involving the upload of electronic (digital) versions of theses and dissertations to the Web, instead of placing them on library shelves in paper where they have been traditionally underutilized. Many university ETD programs start by allowing students to choose to file their theses or dissertations electronically online, then after a pilot period, electronic participation becomes mandatory for all graduate students within the university. Because ProQuest/UMI provides the option of traditional publishing online (the first 24-pages are free and the balance of dissertations and theses for a fee) and the open access option for an additional fee, ProQuest/UMI theses and dissertations are also called ETDs. This research project focuses on both ETDs deposited in university repositories and also on ETDs deposited in ProQuest/UMI’s centralized repository. Both of these types of ETD programs were expressed as potentially problematic if articles were derived or taken exactly from ETDs, according to some journal and book publishers’ opinions and policies as discussed in the literature review (Chapter 2).

ETDs Provide More Control over Access to Theses and Dissertations

Before ETDs, print versions of theses and dissertations were generally available for immediate distribution once the print copies became available on library shelves. While the distribution for print copies was low, the documents were available for students to view or for the documents to be shared through interlibrary loan once the documents were available on the shelves.

While ETDs do provide considerably more exposure to theses and dissertations when they are in open access, university ETD programs can also provide more protection over who, when, and where theses and dissertations are accessed (NDLTD, ETD Statement about Publication, 2009). The local library can restrict access to electronic theses or dissertations by password login for university library patrons only or for a certain group of individuals. University libraries can restrict the entire ETD for a certain period of time (also called a publication delay or embargo), they can block access for a predetermined period of time to certain chapters in a document (NDLTD, ETD Statement about Publication, 2009) or allow access to the whole document by IP address only. Delaying the publication of online theses and dissertations provides students additional time to publish their work and to file patents before the documents are published to the Web in open access format. So in some ways, ETDs can be less accessible than they were when theses and dissertations were only in print.

Publication delays are allowed by almost all universities filing ETDs to protect the students' ability to publish before the theses or dissertations appear on the Web and to provide time for students to file patents applications. University publication delay policies are examined in this study, because if publication delays are used by students they are likely to reduce publisher rejections for articles submitted for publication. While the articles are submitted for publication the original ETD documents are blocked from public access; therefore, reducing the likelihood that documents could be considered "previously published" works by journal and book publishers.

Statement of the Problem

Universities that have students who are bound by mandatory ETD programs and publish articles from these same ETDs after graduating “can and do result in competing interests that place student authors in difficult positions” (Moxley and Weisser, 2002, p. 273). Students, who hope to publish articles or books that are derived or taken directly from their ETDs, must decide before graduating if they would like to delay the publication of their theses or dissertations (or restrict access to the university-only if this is an available option) to avoid the potential that publishers may consider their theses or dissertations previously published works because they are widely available on the Web. This is true even if students have little knowledge of where they may publish and regardless of whether students are familiar with the publisher policies where they may publish at a later time. “Caught between fulfilling requirements for graduation and the need to embark upon future professional activity, student authors have had to make hard choices about the distribution of their work” (Moxley and Weisser, 2002, p. 273).

Since the first ETDs (in institutional repositories and in the ProQuest/UMI repository) became freely available on the Web in 1997, controversy has occurred regarding whether theses and dissertations could be considered previously published works by large circulation journals and book publishers and be detrimental to graduate student alumni ability to publish. “Publicity about this has led to coverage by the Chronicle of Higher Education, National Public Radio, the NY Times, and many regional newspapers” (NDLTD, Widespread Access to ETDs, 1997, ¶ 8).

The Networked Digital Library of Theses and Dissertations (NDLTD), the largest ETD consortium in the world, states it is unfortunate that the media has focused on painting a picture of conflict between universities and publishers regarding the publishing of full-text, open access ETDs, which have been construed as direct competition for articles or books that are later published by journal and book publishers after graduates derive or take articles directly from ETDs (NDLTD, *Widespread Access to ETDs*, 1997, ¶ 8). In an effort to determine if graduates are at risk of losing future publication opportunities when filing ETDs, the focus of this study is to survey ETD university personnel to see if students are reporting publisher rejections for articles or books submitted for publication, because these articles or books are derived or taken directly from ETDs.

Before 1997, the only central distributor for print or microform theses and dissertations in the U.S. was through the ProQuest/UMI. There was no central repository for theses and all local library theses and dissertations were placed in print on library shelves. In 1997, the distribution methods for theses and dissertations began to change from print to electronic format, both in higher education libraries and at ProQuest/UMI (the central commercial repository for print dissertations at the time).

The change in theses and dissertations distribution method began with Virginia Tech creating an institutional repository to provide theses and dissertations in full-text, open access on the Web for free. In addition, ProQuest began to provide the first 24 pages of dissertations in open access (and the balance of the full-text dissertation for a fee). ProQuest/UMI also began to provide full-text access to the author's home institution at no cost to the university community (M. Coles, personal conversation, April 16, 2010).

Then in 2006, ProQuest/UMI began to allow individual students or universities to pay an additional fee (currently \$95 per document) to have theses or dissertations in open access format on the open Web and in PQDT indefinitely. In 1997, these online theses and dissertations became known as Electronic Theses and Dissertations (or ETDs). As noted, in this research project all ETD universities (using the ProQuest/UMI commercial repository or institutional repositories in the U.S.) were surveyed regarding the number of students reporting publisher rejections to ETD university personnel.

The concern with online theses and dissertations is two-fold. Before 1997, dissertations and theses were only available through a centralized for-profit company, ProQuest/UMI, and individuals and universities had to pay a fee to access these documents. Also, only print documents were available from university libraries on site or via interlibrary loan. This scenario limited access to all higher education research. Once theses and dissertations began to become available online through ProQuest/UMI and through institutional repositories in 1997, the problem of accessibility began to decrease quickly, but electronic publishing created another concern: Would the drastic increase in distribution of thesis and dissertation research conflict with journal and book publishers' desire to publish this new research in journal and book format?

To examine the dramatic increase in exposure to thesis and dissertation research, Table 1 shows a 701% increase in the demand for downloads of full-text, open-access ETDs from Virginia Tech institutional repository between 1997 and 2007 as shown in Table 1. In addition, West Virginia University reports that their electronic copies have been accessed 145,000% more than print copies during the transition from print to electronic format (Hagen, Notable wvuScholar Collection Facts flyer, 2009).

Table 1

What the Server Logs Reveal about Accesses to Virginia Tech Electronic Theses and Dissertations (fiscal years)

	1997/98	1998/99	1999/00	2000/01	2001/02	2002/03	2003/04	2004/05	2005/06	2006/07	% Increase
Requests for PDF files (mostly full ETDs)	221,679	481,038	578,152	2,173,420	4,497,199	7,320,818	10,697,468	17,461,678	21,113,555	18,580,199	
Percentage Increase*		117%	20%	276%	107%	63%	46%	63%	21%	-12%	701%

Source: Networked Digital Library of Thesis and Dissertation <http://scholar.lib.vt.edu/theses/data>

*Average Growth Rate 78% per year.

Initially, fewer questions were asked about ProQuest/UMI theses and dissertations derived articles being considered previously published works, because only the first 24 pages were available as open access and the cost-prohibitive structure of obtaining the entire document resulted in lower exposure to ProQuest/UMI dissertations in comparison to the full-text, open-access ETDs that were offered through university repositories (NDLTD, Widespread Access to ETDs, 1997). According to Amanda Ross of ProQuest/UMI, in 2006 ProQuest/UMI also began to offer full-text, open-access ETDs (for an additional fee) (personal correspondence, December 8, 2009). (This fee is paid by the student or by the university and once paid the dissertation or thesis is in open access format indefinitely.)

As mentioned, since ETDs were introduced in 1997 on the Web through university repositories and by ProQuest/UMI; faculty, staff, students, and publishers have expressed concerns that electronic theses and dissertations could be considered previously published works by large circulation journal and book publishers due to the wide distribution of these documents through the Web. Yet there are some who argue ETDs will not be considered published works by publishers primarily because theses and dissertations do not go through a peer review process that is typically found to be a part of the review process for journal articles (NDLTD, Widespread Access to ETDs, 1997). This was confirmed by some publishers in the NDLTD publisher surveys discussed later in this paper, but not by all publishers. Others argue the extensive length and quantity of information provided in theses and dissertations make them undesirable reading for the

average consumer and therefore, make them unlikely to conflict with the typical methods publishers use to announce new research to the academic community (NDLTD, 1997). Most individuals interested in the topic in a manuscript would prefer to read a shorter article in a journal or newspaper, or attend a presentation at a conference, rather than read an entire thesis or dissertation (NDLTD, Widespread Access to ETDs, 1997). However, this cannot be confirmed based on the large quantity of theses and dissertations that have been downloaded from the Web since 1997 from institutional repositories and from ProQuest/UMI commercial open access repository.

The other side of this argument is that some university personnel have confirmed graduate student alumni are reporting publisher rejections for articles submitted for publication, because the articles were derived or taken directly from their ETDs (Lachman, 2008; Hagen, 2009; Foster, 2008). This study focuses on this argument (dating back to 1997) to determine if students are receiving publisher rejections for articles submitted for publication because the articles are derived or taken directly from ETDs. To assess this, university ETD personnel are surveyed throughout the U.S. to determine if students are reporting publisher rejections to university ETD personnel.

The NDLTD and other organizations have attempted to determine how larger circulation journal and book publishers will treat articles submitted for publication that have been derived or taken directly from ETDs. While the findings of the NDLTD's surveys were beneficial, the results do not provide conclusive information on how publishers as a whole planned to treat and were currently treating ETD derived articles submitted for publication. Of the journal and book publishers who responded to the

NDLTD surveys, a wide range of responses were received including, ETD articles submitted for publication would:

1. receive the same treatment as any other articles submitted
2. be considered on a case-by-case basis
3. be rejected immediately for publication, because ETDs are considered previously published works (NDLTD, Publisher Surveys, 1999-present)

Since the NDLTD surveys do not provide definitive answers on whether publishers will accept or reject articles submitted for publication and because no scientific research has been conducted in this area, in this study ETD university personnel are surveyed to determine if graduate student alumni are reporting publisher rejections for articles submitted for publication, because the articles were derived or taken directly from ETDs.

Research Hypothesis

Since there has been no scientific research conducted to determine if publisher rejections exist, this study focuses on surveying university personnel to determine if graduates are reporting publisher rejections for articles submitted for publication, because the articles were derived or taken directly from their ETDs.

“Setting up and testing hypotheses is an essential part of statistical inference,” because this allows a theory or claim to be tested for scientific significance (Easton & McColl, 2009). The research hypothesis (H_1) and null hypothesis (H_0) are presented below. Survey question 20 is used in this study to test the null hypothesis and descriptive statistics are used to determine if the null hypothesis (H_0) is rejected.

H₁: Graduate student alumni who filed ETDs *are* experiencing publisher rejections for articles submitted for publication, because the articles were derived or taken directly from ETDs.

H₀: Graduate student alumni who filed ETDs *are not* experiencing publisher rejections for articles submitted for publication, because the articles were derived or taken directly from ETDs.

If the null hypothesis (H₀) is rejected (graduate student alumni are reporting publisher rejections at a significant level), additional questions are asked to determine what factors may predict publisher rejections. Chi squared crosstab statistical tests will be used to show if there is an association between ETD program factors and the number of publisher rejections. For all chi squared crosstab statistical tests, the data will be placed into two to five categories and the data collected will be reasonably balanced within these categories. The following additional questions will be explored if the null hypothesis (H₀) is rejected in this study (graduate student alumni are reporting publisher rejections at a significant level):

Do Universities filing ETDs for a longer period of time experience a different number of publisher rejections than those who have filed ETDs a shorter period of time?

A chi squared crosstab table will be used to determine if this is an association between the number of reported publisher rejections within the past year (question 20) and the ETD program's length of time in operation (question 4).

Are universities with a larger number of ETDs experiencing a different number of publisher rejections than those filing a smaller number of ETDs? The size of an ETD university program may impact the number of publisher rejections that are received. To assess the question, a chi square crosstab table will be used to determine if there is an

association between the number of reported publisher rejections within the past year (question 20) and the number of ETDs filed in the last 12 months (question 5).

Do universities with mandatory ETD submission policies experience a different number of publisher rejections than non-mandatory ETD universities? A chi square crosstab table will be used to determine if there is an association between the number of publisher rejections within the past year (question 20) and the program's submission requirement of mandatory, partially mandatory and non-mandatory ETDs (question 7).

The following two questions ask about faculty fears of publisher rejections and which departments/colleges faculty are most concerned with publisher rejections:

Do faculty concerns regarding publisher rejections cause ETD program administrators to modify distribution options? If faculty are concerned about publisher rejections one would assume modifications would be made to the university distribution options offered (e.g. publication delay time periods, university-only access options). To assess this question, a chi square crosstab table will be used to examine if there is an association between the level of faculty concerns (question 23) and the number of modifications to ETD distribution options (question 14).

Are some ETD departments/colleges experiencing a different number of publisher rejections or concerns than others? ETD university personnel are asked to list the departments/colleges that have experienced the most publisher rejections, that have the most faculty who have a fear of publisher rejections, and that have been exempted from ETD submission rules due to actual publisher rejections or concerns with publisher rejections. The departments/colleges reported will be presented in a table format and will provide a list of the departments and/or colleges (questions 7, 8, 18, 19 and 20-23, 25 and 26 prompt the respondents to provide department or college names when applicable).

To further assess ETD universities response to publisher rejections or the fear of publisher rejections, questions 14-19 ask specific questions regarding ETD publication delays and policies. These questions will be provided in a table format for data analysis purposes.

Over the life of your ETD program, how many times has your institution modified or added distribution options? (question 14)

Over the life of your ETD program, have your request for publication delays? Increased? Decreased? or Remained about the same? (question 15)

In the last 12 months, what percentage of ETD students requested a publication delay? (question 16)

Of the distribution options available to your students, do you feel these allow adequate time for graduates to publish derived or exact text from ETDs? (question 17)

Have you or your university ever allowed a change in a distribution option because the student discovered the open access document was interfering with his or her ability to publish from an online thesis or dissertation? (question 18)

Do you encourage publication delays for: Theses? Dissertations? It depends on the department/college? I don't encourage publication delays? I see no purpose for a publication delay? or Other?. (question 19)

Significance of the Study

This study will be of interest to corporate and non-profit scholarly communications distributors such as ProQuest/UMI and NDLTD, as well as, ETD university personnel who advise students who file ETDs, library staff who catalog ETDs, and to those responsible for the oversight and implementation of ETD university

programs internationally. This study has implications for new and existing ETD programs in understanding:

1. if graduates are experiencing publisher rejections when they attempt to publish derived or exact text from ETDs
2. if some ETD university programs/departments are experiencing more publisher rejections than others
3. if current ETD university distribution options are adequate to protect graduates ability to publish articles derived or taken directly from ETDs

The survey in this study is designed to be the first that communicates directly with ETD university personnel to determine if graduates are reporting publisher rejections for articles submitted for publication, because these articles were derived or taken directly from ETDs.

The interest in this research project stemmed from this researcher's four years of employment as the Director of the ETD program at Ohio University in Athens, Ohio, 20 years of experience in higher education, and 30 years experience working with and teaching computer systems technology. This project also originated because this researcher conducted a qualitative pilot study with two Ohio University faculty members to determine their concerns with ETDs. The greatest concern expressed was the fear that publishers would reject their students' submitted articles or books because the articles or books were derived from ETDs. Also, as the Director of ETD, this researcher received a report from a graduate student alumna that a publisher rejection had occurred for an

article and two rejections were received for poetry competitions, because her poetry was taken directly from her ETD.

Limitations and Delimitations of the Study

The population in this study is limited to 520 ETD universities within the U.S. who were on member lists of the Council of Graduate Schools (CGS) and other comparison lists used to ensure an accurate sample was obtained. The other lists included: the Networked Digital Library of Theses and Dissertations (NDLTD), the Online Computer Library Center (OCLC) repositories, ProQuest/UMI customers, the Digital Scholarly Archive list of Missouri University of Science and Technology (MUST), and other ETD programs list or individual programs located throughout the research process of this study.

In this study, 520 universities were contacted to determine if they had ETD programs. A limitation of this study is that roughly 1,800 graduate schools exist within the U.S. and some universities who were not on the selected contact list could file ETDs, but the scope of this study did not allow for the inclusion of the entire graduate school population to be contact for inclusion in this study.

Another limitation is that the research data collected in this study are restricted to ETD university programs within the U.S. that were in existence as of January 2010. The findings in this study provide statistics and opinions of ETD university personnel who were willing to participate in this study Winter Quarter 2010.

The results of the survey may not necessarily be generalized to all ETD university programs in the U.S. In addition, since ETD personnel may not have exact numbers or

percentages available to answer some survey questions, so respondents were asked to provide estimated numbers or percentages if needed.

A limitation of this study may be that some graduate student alumni may not have reported publisher rejections received for submitted articles or books to their ETD university contact. Since ETD university personnel were surveyed in this study, if students elected not to report publisher rejections to their ETD university contact or if ETD university contact forgot that a publisher rejection was reported in the past, this study is unable to capture this information through other means.

Another possible limitation for this survey is that the researcher in this study works as the Director of ETD at Ohio University in Athens, Ohio, and this could bias the word choice and questions selected in the survey. This same researcher also distributed the survey and tallied the data for this study.

Definition of Terms

Dissertation: A research document written by a post-Master, Doctoral-level student. The term “dissertation” may be used in some countries or universities to mean a post-baccalaureate, Master-level research project.

ETD: Electronic Thesis and Dissertation (ETD) that can be accessed on the Web in full- or partial-text. The focus of this study is on all types of ETDs (free theses and dissertations through institutional repositories, for-purchase theses and dissertations through ProQuest/UMI, and free full-text open access ProQuest/UMI theses and dissertations).

ETD program: A university that files ETDs either in an institutional repository or through the ProQuest/UMI commercial repository using traditional or open access distribution methods.

ETD university personnel: University employees who assist students with filing ETDs in a university repository or in the ProQuest/UMI commercial repository. ETD university personnel typically work in a graduate school or a university library.

Publisher rejection: An article, poem, short story, or book derived from an ETD that was not accepted for publication by a journal or book publisher, because it was derived or taken directly from an online theses or dissertation (also called an ETD).

NDLTD: Networked Digital Library of Theses and Dissertations. An international organization dedicated to the promotion and distribution of ETD documents as open access. The NDLTD has the largest consortium of ETD universities in the world and maintains an international union catalog of ETDs from around in the world.

Open Access: Information readily available on the Web at no cost and without access restrictions.

ETD Repository: An online database that provides access to theses and dissertations for online viewing and provides the associated metadata regarding the documents (e.g. student and university name, year of graduation, title of document, abstract, keywords).

Thesis: A research document written by a post-baccalaureate, Master-level student. The term “thesis” is used in some countries or universities to mean a doctoral research project. This term is also used as a general term to mean a research project.

This chapter included an introduction, background of the study, statement of the problem, research questions, significance of the study, limitations and delimitations, and definition of terms. The next chapter covers in more details the history of ETDs and review of literature.

CHAPTER 2: REVIEW OF LITERATURE

The universe of electronic resources is indeed diverse, expanding, intimidating and unstructured compared to the finite, pre-packaged print world upon which the information delivery infrastructure has been constructed. (Moxley and Weisser, 2002, p. 2)

This chapter explores the concern that large circulation journal and book publishers may reject articles submitted for publication because the articles are derived or taken directly from Electronic Theses and Dissertations (ETDs). To examine the issues surrounding this topic, the following areas are explored: the history of print and electronic theses and dissertations, open access initiatives that impact ETDs, surveys of publisher opinions and policies regarding online documents, ETD distribution options, and copyright concerns for online documents.

The History of Print and Electronic Theses and Dissertations

This section presents the origin of theses and dissertations, ProQuest/UMI and local library publishing of theses and dissertations, open access initiatives that may have an impact on ETDs, issues that cause a fear of ETDs, the history of distribution methods of thesis and dissertations, and finally the adoption rate of ETDs in the U.S.

Origin of Theses and Dissertations in the U.S.

In 1861, the first dissertation in North America was written by a student at Yale University; the dissertation was handwritten and was six pages long (Council Graduate Schools, 1861). Since this time, significant changes have occurred in the document layout of dissertations, as well as the methods for distributing them. The six-chapter dissertation document structure continues to be the most popular format for dissertation research today. The chapters include: 1) an introduction, 2) a literature review, 3) the

methodology, 4) the results/findings, 5) an analysis and interpretation of findings, 6) the summary, conclusions, and further study recommendations (Thomas and Brubaker, 2000). With this structure, dissertations can be up to 600 pages long.

With theses, the structure depends on the discipline, but the length is usually approximately 60 pages long. With these structures, theses and dissertations are long documents (60 to 600 pages) and provide more extensive information than other forms of publishing, such as articles, conference presentations, and press releases (NDLTD, Widespread Access to ETDs, 1997). The Networked Digital Library of Theses and Dissertations (NDLTD) notes most individuals interested in the topic of a thesis or dissertation would prefer to read a shorter article in a journal or newspaper, or attend a conference (rather than read an entire thesis or dissertation) (NDLTD, Widespread Access to ETDs, 1997). In the past, theses and dissertations were primarily read by the committee members and other researchers interested in the topic or research design. Though, part of the reason theses and dissertations were underutilized was because they were only available in paper before 1997 (McMillan, 2001). However, an effort was made by universities in the U.S. and ProQuest/UMI, a for-profit company, to have a central place to hold and preserve all dissertations written in the U.S. as discussed in the next section.

History of ProQuest/UMI Publishing in the U.S.

ProQuest/UMI is a company that has provided a central repository for dissertation publishing since 1939 (ProQuest/UMI was previously known as University Microfilm). Due to the high value higher education places on the publishing of doctoral research,

many doctoral-granting universities within the U.S. still require students to publish their dissertations with ProQuest/UMI. In 1939, ProQuest/UMI began to provide preservation services for master's theses as well (A. McLean, personal communication, May 15, 2009). ProQuest/UMI theses and dissertations were all distributed in print and microfilm format only until 1997 when ProQuest/UMI began to provide the first 24 pages of dissertations online for free and the full-text electronic document for a fee. Today, ProQuest/UMI provides an online repository for theses and dissertations called ProQuest Dissertation and Thesis (PQDT) database. Now that ProQuest/UMI is publishing theses and dissertations to the Web, this new method of distributing thesis and dissertation research is known as Electronic Theses and Dissertations (or ETDs).

Also in 1997, ProQuest/UMI began to accept theses for online publishing. The first year ProQuest/UMI received 300 theses (A. McLean, personal communication, December 4, 2009). Presently, ProQuest\UMI provides two types of electronic publishing options for the dissertations and theses. The first is called Traditional Publishing. With Traditional Publishing, ProQuest/UMI provides the first 24 pages online for free (and the balance of the document for a fee). The second publishing option is called ProQuest Open Access. This became available in 2006 (A. Ross, personal correspondence, December 8, 2009). With open access publishing, ProQuest/UMI offers the full-text theses or dissertations online for free indefinitely. Currently, the student filing the thesis or dissertation or the degree-granting university can pay an additional \$95 for the open access publishing option to allow open access viewing of this document through the

ProQuest/UMI PQDT database as well as the open web portal PQDT Open indefinitely (PDQT, 2009).

As of December 2009, ProQuest/UMI has 4,000 open access theses and dissertations in their repository and 2.2 million dissertations published using the traditional method (A. McLean, personal communication, December 6, 2009). According to Marlene Coles of ProQuest/UMI (personal communication, December 6, 2009), today some universities which participate in ProQuest/UMI publishing services are building their ProQuest/UMI ETD sites primarily with the traditional publishing option for students; however, many universities are building their ProQuest/UMI ETD sites to allow students the option to select traditional or open access publishing. In addition, Marlene Coles stated ProQuest/UMI has 70+ institutions that deposit theses and dissertations with ProQuest/UMI using the ProQuest/UMI ETD Administrator and have also requested that ProQuest make deposits of their manuscripts to a local library server.

In 2002, Wolverton and Hoover (2004) state 16% of universities responding to their survey stated they had local ETD repositories and 36% stated they planned to have institutional repositories for ETDs in the future (Wolverton and Hoover, 2004). ETD institutional repositories are discussed in the following section.

Local Library Thesis and Dissertation Repositories

While many universities in the U.S. today still require doctoral students to publish their dissertations with ProQuest/UMI using the traditional publishing method, some universities are requiring a local library copy (that was once in print) to be available in full-text, open access format in university repositories (M. Coles, personal

correspondence, December 6, 2009). (These are called full-text ETDs in this dissertation.) Many universities are not charging a filing fee to students to deposit their theses or dissertations in the institutional repository, but in most cases, the students are required to pay the ProQuest/UMI filing fee (currently \$65 for a dissertation and \$55 for a thesis) (McCutcheon, 2006). Some U.S. universities are making it mandatory to deposit an electronic thesis or dissertation in the university repository, while others are still allowing students to elect to file in print or electronic formats.

In 1994, Virginia Polytechnic Institute and State University (Virginia Tech) began to test the setup of an ETD institutional repository to place students' full-text, open access theses and dissertation on the Web (also called full-text ETDs in this paper). Then in 1997, Virginia Tech was the first university in the world to set up a mandatory ETD program for full-text ETDs in an institutional repository (G. McMillan, personal correspondence, July 10, 2009). As a result, students were required to publish their full-text theses and dissertations online as a condition for graduation. Initially Virginia Tech policy allowed students to delay their publication for six months before going into open access; later a one-year publication delay was established. While Virginia Tech continued to publish dissertations in the ProQuest/UMI repository, they also began placing their theses and dissertations into their own institutional repository in full-text, open-access. Before this time, the only distribution methods available for dissertations were ProQuest/UMI paper copies and university library paper copies (or interlibrary loans).

In August 1998, West Virginia University (WVU) was the second university in the world to require mandatory full-text ETD program for all graduate students (J. Hagen,

personal correspondence, April 5, 2009). WVU, unlike Virginia Tech's one-year publication delay, allowed students to select a much longer publication delay period of up to five year before ETDs were required to go into open access.

By placing theses and dissertations online, universities can increase access to their research. ETDs allow for a much larger worldwide audience—where as paper copies were published for a much smaller audience of university patrons or through interlibrary loans. Now that university libraries are publishing theses and dissertations to the Web, this method of distributing thesis and dissertation research is known as Electronic Theses and Dissertations (or ETDs). This same term is also used to define ProQuest/UMI online theses and dissertations as mentioned previously.

In addition ETDs reduce the cost of printing and distributing theses and dissertations for students and universities. With ETDs one electronic copy can be posted to the Web, instead of two or more print copies placed on a library shelf (e.g. archival copy, circulating copy).

Strong supporters of ETD initiatives consider ETDs to be a great achievement for higher education institutions and advantageous to universities, faculty, students and society as a whole. Those against placing theses and dissertations online consider ETDs a disadvantage to most parties involved for a variety of reasons. One concern is that ETDs may be considered published works by journals and book publishers and may be detrimental to graduates' abilities to publish derived or exact text from the ETDs. "In the publish-or-perish environment at universities, careers can be made or broken by journal acceptance" (Kladko, 2008, p.1). Some faculty, students and administration are

concerned about copyright infringement and plagiarism for documents posted to the Web since online documents are more available for copying and pasting information and for additional scrutiny, as discussed later in this chapter.

Open Access Initiatives that Impact on ETDs

According to the Graduate Council of North Texas University, long-term mandatory full-text, open-access ETDs are inevitable for higher education institutions given the movement towards online journals and online education programs (National Library of Austria, 1997). To support ETD initiatives, thousands of governmental dollars and several organizations have been created around the world. In addition, many other mandatory open access initiatives are occurring at the national and country level including (J. Hagen, personal correspondence, 2009):

1. the requirement that all research documents funded by the U.S. National Institute of Health must be in open access format within six months to one year of the completion of the study;
2. pending proposals to have other federally funded research programs including the National Science Foundation and National Endowment for the Humanities deposit their research in open access format;
3. countries opting for country-wide open access legislation (including Australia, Canada, Europe, and some Asia countries);
4. educational institutions requiring faculty research to be deposited in open access institutional repositories;

5. publishers embracing new open access models, including BioMed Central, Public Library of Science, etc.;
6. development of open access advocacy programs such as Alliance for Taxpayer Access (<http://www.taxpayeraccess.org>) (J. Hagen, personal correspondence, September 26, 2009)

In addition, many open access publisher repositories can be found at OpenDOAR (<http://www.opendoar.org/>), a Web site provided by *Securing a Hybrid Environment for Research Preservation and Access* (SHERPA). This Web site also provides information regarding other worldwide open access repository initiatives.

With open access trends, one can expect ETD programs to continue to expand to all universities worldwide. With these trends, it is important to have research projects focusing on open access publishing, ETDs, and ETD university policies and practices. This study focuses on whether publishers are rejecting articles submitted for publication, because the articles are derived or taken directly from ETDs. In other words: Are ETDs considered previously published works by large circulation journal and book publishers?

Issues that Cause a Fear of ETDs

Few can argue the advantages of ETDs with regards to shared research, cost savings, and the ease of accessing a university's research, but along with the advantages comes the concern that large circulation journal and book publishers may consider ETDs as previously published works and limit graduate student alumni's abilities to publish derived or exact text from their ETDs. Since this has been a concern since the first ETD was published online in 1997, the NDLTD (the largest international consortium of ETD

university professionals in the world) conducted four surveys of publishers' policies and opinions of ETDs. The NDLTD found several extreme responses from their total of 148 publisher responses (from the four surveys, 1999 to present). For example, some journal publishers noted they have always considered ProQuest/UMI documents published works, even though the distribution for ProQuest/UMI paper documents was low before 1997 ((NDLTD, *Widespread Access to ETDs*, 1997). While other publishers welcomed ETDs, mentioning that these theses and dissertations do not go through a peer review process, so they do not consider them prior publications. On the other hand, some publishers that welcome ETDs also noted that theses and dissertations are generally extensively revised before an article is published in a journal, so they did not consider ETDs as prior publications (NDLTD, *Publisher Surveys, 1999-present*). Edminster (2002) adds that because dissertations must be heavily revised before publication, one-third to one-half are never published in other published formats, such as journal articles, short stories, books, etc.

Eaton (2000) supports that dissertations provide a unique opportunity to study and write a large, in-depth piece of research that is not restricted by book or journal editors; he states this tradition should continue in the age of electronic documents. While Edminster (2002) states the current format of dissertations is prepared for a small audience of four committee members and precludes practical use. She states the current format has outlived its usefulness and a new model should be adopted that allows students to prepare themselves for future scholarship in the world of electronic publishing (Edminster, 2002).

Moxley and Weisser (2004) further state “graduate schools and faculty, in the name of maintaining quality, have all too often inhibited the creativity of graduate students by forcing them” to conform to a standard mold (p. 2). Regardless of whether documents format change as a result of ETDs, the distribution methods for theses and dissertations have changed dramatically for many universities within the U.S. Further, much anecdotal evidence supports the notion that ETD submission requirements at universities have in fact increased the quality of research content in theses and dissertations due to the wider circulation in the online environment (J. Hagen, personal correspondence, February 3, 2010). Ferreras (2006) further comments, from a faculty member’s perspective, that faculty can no longer just ignore low quality research by placing it on a library shelf. In an effort to further investigate the acceptance of ETDs within the U.S., the following section examines the changes in distribution of theses and dissertation since 1861.

Distribution Methods of Theses and Dissertations

In an effort to further explore the impact of publishing theses and dissertations on the Web, the creation and distribution methods of theses and dissertations from 1861 to today are presented in Table 2. Note that before 1997, theses and dissertations were not available as open access (freely available to anyone in the world with an Internet connection).

Table 2

Creation and Distribution Methods for Theses and Dissertations Since 1861

Approximate Year Started	Creation Method	Distribution Method	Location of University Library Copy	Interlibrary Loan (ILL)***	ProQuest/UMI**
1861	Handwritten	Paper	Library Shelf	NA	NA
1899	Handwritten	Paper	Library Shelf	Paper	NA
1910	Typewriter	Paper	Library Shelf	Via U.S. Mail	Paper (began 1939)
1940s	Typewriter	Paper	Library Shelf	Print ILL Union Lists available	Paper
1981	Computer	Paper	Library Shelf	Print ILL Union Lists available	Paper
1985	Computer	Paper	Library Shelf	Online Public Access Catalogs (OPACs)	Paper
1997*	Computer	Internet	Internet (for free)**	Internet (for free)**	Internet (for a fee)

*Note in 1997 both universities and ProQuest/UMI began to place theses and dissertations in electronic form on the Web.

**Note not all universities within the U.S. have their own ETD university repositories, and not all universities publish their theses and dissertations in the ProQuest/UMI commercial repository.

*** History of Interlibrary Loan (Chudnov, D. History of interlibrary loan. Retrieved on February 3, 2010, from <http://old.onebiglibrary.net/mit/web.mit.edu/dchud/www/p2p-talk-slides/20011107-p2p-histill.htm>)

Undoubtedly some resistance was experienced as handwritten documents moved to documents created on a typewriter, and then as typewritten documents moved to computer-generated print documents, so it is no surprise that the current movement from computer-generated print documents to computer-generated, Web-published documents is experiencing some resistance. The change from print documents to published works on the Web has been the greatest change in university distribution of thesis and dissertation documents since the first was written in 1861. This change from publishing in print (for a small audience of academic library patrons) to publishing electronically (for a worldwide audience) challenges the status quo for print theses and dissertations and the traditional

distribution methods of releasing new research through journal articles, books, newspapers, and conferences (NDLTD, Widespread Access to ETDs, 1997).

ETD Institutional Repository Adoption Rate

To explore the U.S. adoption rate of institutional repositories for ETDs, Edminster (2002) examines the acceptance rate for ETDs (also called the Diffusion of Innovation, Rogers, 1995). In 2002, Edminster found the adoption of institutional repositories for ETDs within the U.S. was relatively slow in comparison to other countries (Edminster, 2002). In other countries, ETD programs continue to be established countrywide instead of by university, because 90% of universities in other countries are governmental entities (while in the U.S. higher educational institutions are state operated) (NDLTD Steering Committee Meeting, September 15, 2000).

Currently, ETDs are altering the culture of thesis and dissertation distribution and publishing as we have known it for 150 years by changing: traditional print distribution methods of scholarly work from print to electronic; the audience from a small university cluster to a worldwide audience on the Web; and the publishing of research primarily through journal articles, conference proceedings and books to accessibility of full-text theses and dissertations on the Web

According to Rogers (1995), all new technologies experience some form of resistance until the new technology is nearly fully adopted by society. Rogers states full adoption of ETDs will be evident when ETD technology is fully understood, is accepted by our social system as a standard way of doing business, and at that point, will then be

considered the most common method for thesis and dissertation distribution (Rogers, 1995).

The adoption rate of ETD institutional repositories in the U.S. changed from 1997 to 2005 (nine years) from two universities to 30 universities filing theses and dissertations electronically according to a study conducted by Surratt in 2005 (see Appendix F for Surratt's list of ETD universities). Roughly five years later, this researcher located 112 U.S. universities filing ETDs in institutional repositories. While it is difficult to determine at any one point in time exactly how many universities have ETD institutional repositories, these numbers are likely good estimates of the ETD university repositories at these points in time. This means the first 10 years of ETD university repositories' existence an average of three U.S. universities started new institutional repositories for ETDs per year. While during the last five years of ETD university repositories' existence, an average of 25 universities per year are adopting ETD institutional repositories. This shows an exponential increase in ETD development within the U.S.

Mansfield (1995) found the more profitable an innovation; the more swiftly the new innovation is adopted. Since the view that something is profitable varies among organizations, a university may set up an ETD institutional repository to provide theses and dissertations online earlier, because the university:

- has a history of embracing new technologies;
- has a need to reduce costs (e.g. paper handling, staffing, library shelf space) ;

- views ETDs as providing a competitive edge (e.g. greater exposure to the institution's research, increased citation rates for students, notoriety for faculty or research in a particular area)

Mansfield (1995) also states different perspectives of what is profitable assist in creating the typical “S” shape of an adoption rate curve. Basically, when the adoption rate data points are graphed, the new innovation first shows a slow (flat) adoption rate (called early adopters) followed by a gradually steeper line. Finally, the laggards adopt the new innovation slowly at the end of the adoption process which displays another flat line. Currently, the ETD adoption curve appears to have moved past the initial flat bottom part of the “S” curve (where the adoption rate was slow at first—early adopters) and now appears to be increasing more rapidly as it moves up the steep incline of the “S” curve as shown in Figure 2.

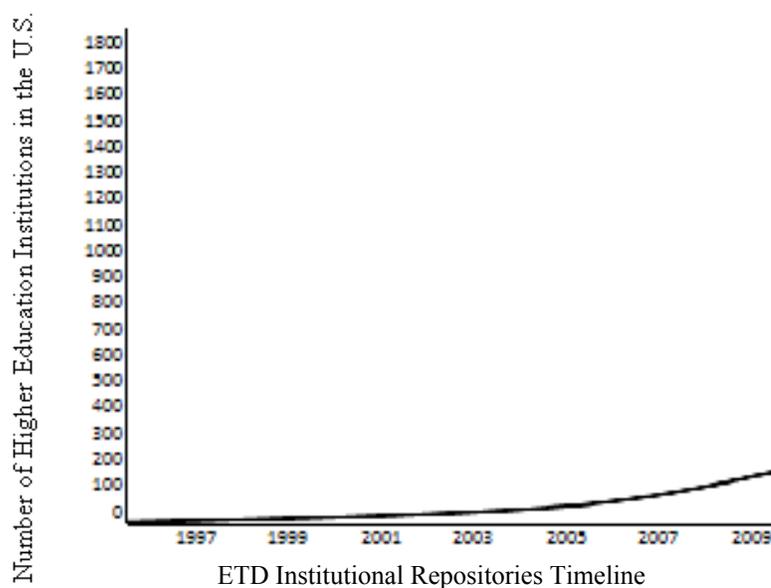


Figure 2. The bottom of the “S” shaped curve of ETD adoption rate according to Rogers (1995).

Since roughly 1,800 higher education institutions grant master and doctoral degrees within the U.S. (IPEDs Data Center, 2009), ETD technology can be considered in its infancy within the U.S. or approximately at a 22% adoption rate (403/1800) according to this dissertation research. If only full-text ETDs repositories are included in this calculation (excluding depositors in the centralized ProQuest/UMI commercial repository), this percentage becomes quite small, with only 6% (112/1,800) of U.S. institutions providing ETD institutional repositories.

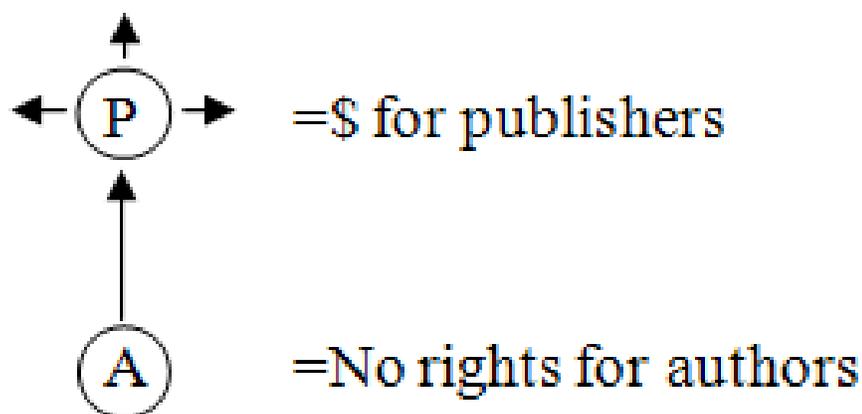
ProQuest/UMI reported a total of 700 active ETD university customers within the U.S. (A. McLean, personal correspondence, May 3, 2010). Many of these universities were found in this study to have institutional repositories for ETDs too. With this number, ProQuest/UMI shows a 39% service rate of U.S. universities overall (for partial- and full-text ETDs, 700/1,800) within the U.S.

While the adoption rate for establishing ETD university repositories have been slow within the U.S., the demand for downloads from the Web of U.S. ETDs has grown tremendously. As shown in Chapter 1, Table 1, Virginia Tech experienced a 701% growth in full-text ETD downloads for the first 10 years (1997 through 2007). In addition, Virginia Tech's most popular full-text document was viewed more than 75,000 times (as of October 1999) (Edminster, 2002). When the download statistics are compared to Virginia Tech's library print statistics of less than one viewing per document for theses and dissertations, online downloads of ETDs is obviously the preferred method of distribution for consumers of thesis and dissertation research (Virginia Tech, 1998).

Publishing from Theses and Dissertations

In the past, authors were subjected to distributing their research only through commercial publishers. The author would lose the right to his or her own work at the mercy of the publisher needs. The information would then be limited to small circles within the academic community. (Espinel and Hadro, 2009)

With this model, publishers receive money for publishing an author's work when they sell print copies of the journal, and the authors receive notoriety as a published author in a popular journal in return. Using this model, authors also lose the right to use their own work for other purposes as shown in Figure 1 (Espinel and Hadro, 2009).

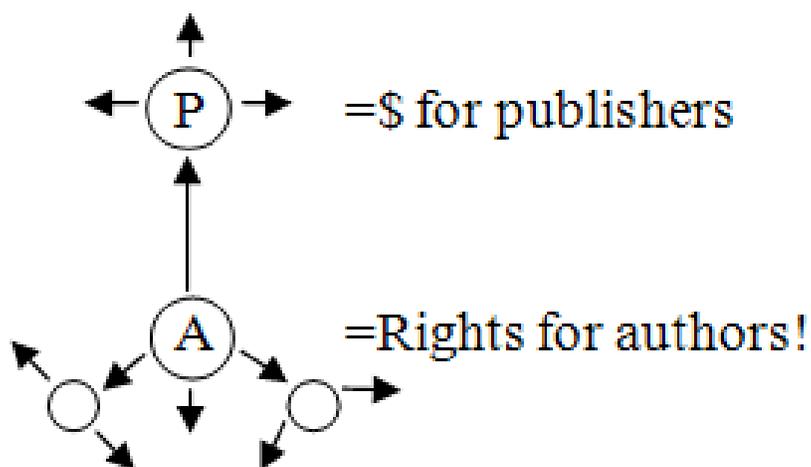


Source: Espinel and Hadro, 2009.

Figure 3. In the past, authors published their works primarily through academic journals; the publishers received the money from the print copies; and the authors lost their rights to use their works for other purposes.

In the new era of open access, authors can request an addendum to their publishers' contracts that states a 'license to publish' instead of a 'transfer of copyright' is granted to the publisher (Cox and Cox, 2009). The 'license to publish' allows the journal to publish the article as usual, but at the same time, the author retains the right to publish in other places and to post the original work to a personal Web site. This allows authors the right

“to publish their work in multiple places” and to place their work on their own or other Web sites as shown with the new model in Figure 2 (Espinel and Hadro, 2009).



Source: Espinel and Hadro, 2009.

Figure 4. With open access documents, authors can retain some rights. Authors can choose to publish an article with a publisher, and the publisher can print the article or place the article on a Web site for a profit. At the same time, if authors only grant a ‘license to publish’ to the publisher, authors have additional rights to publish their works in other places and/or to post their work to their own or others’ Web sites (Espinel and Hadro, 2009).

Methods of Publishing from Theses and Dissertations

First, publishing the findings from a thesis or dissertation can be accomplished in several ways (J. Hagen, personal communication, September 20, 2009). The first is the publishing of the thesis or dissertation itself through the local library in print or in electronic format if available. Another common initial publication for dissertations is for the student (or university) to pay to publish the manuscript in ProQuest/UMI’s commercial centralized online repository). Libraries then pay subscriptions to provide student access to the full ProQuest/UMI commercial centralized repository of theses and

dissertations, or the student pays to download individual full-text theses or dissertations written at other universities.

Second, preliminary reports can be provided through “pre-prints (i.e., papers given as presentations at conferences), all of which [are called] ‘grey literature,’ and then next would be formal publication as a journal article (i.e., chapter of an ETD) or as a monograph (i.e., full length book version of an ETD)” (J. Hagen, personal communication, September 20, 2009). As a derived work is placed into a formal publication (article or book), the work is critiqued by experts in the field. This peer review process is used to determine the value of the research and to improve the draft submitted (J. Hagen, personal communication, September 20, 2009). In addition, with journal articles, generally a chapter or part of the thesis or dissertation is rewritten for a specific journal. The article is reformatted to conform to the specific submission guidelines of the journal. With a monograph (book), the thesis or dissertation “is typically extensively revised and refocused for a different audience” (J. Hagen, personal correspondence, September 28, 2009).

Some academic disciplines have established digital repositories to store and share their research pre-prints, these include: physics and mathematics; economics; cognitive science; astronomy, astrophysics, and geophysics; and computer science (Crow, 2002). Crow states these repositories have evolved as an “extension of existing peer-to-peer research communication practices” and are often called “e-print servers” (p. 11).

The American Physical Society shares online copies of their pre-prints (drafts of the actual published articles) before they go through a peer review process (Moxley and

Weisser, 2004). Some are then approved, revised, and published in the society's journals. Moxley and Weisser (2004) state that they view this practice as essentially the same practice that is occurring with ETDs. Theses and dissertations are pre-prints, and then once rewritten and accepted by a publisher, a shortened version appears in a published journal article or book format.

This study examines whether articles derived or text taken directly from ETDs are being considered as previously published works by large circulation journal and book publishers. Some ETD professionals argue that ETDs will be considered pre-prints, because theses and dissertations do not go through a peer review process that typically takes place before journal articles are published. While some publishers report through the NDLTD surveys that they consider ETDs previously published work (NDLTD, Publisher Surveys, 1999-present), this study looks at whether some publishers are considering ETDs pre-prints or if publishers are considering ETDs published works.

Surveys of Publishers' Opinions and Policies Regarding Online Documents

Networked Digital Library of Theses and Dissertations (NDLTD)

Publisher Surveys

Since 1999 the NDLTD community (the large consortium of ETD universities in the world) has put great effort into determining if ETDs would be considered previously published works by large circulation journals and book publishers. The NDLTD conducted four similar surveys to determine if journals and book publishers with larger circulations would accept articles derived or taken directly from ETDs (NDLTD, Publisher Surveys, 1999-present). The results from these surveys show journal and book

publisher opinions vary greatly as shown in Table 8. Remarks include that the publisher would:

1. accept articles derived from existing ETDs;
2. reject articles that include similar or exact text;
3. be uncertain how they would handle ETD articles submitted for publication

The four ND LTD publisher surveys are presented in Table 3 in summary format instead of presenting them individually because:

1. all four surveys ask nearly the same questions;
2. the survey sample sizes for individual surveys were too small for the results to be considered statistically significant;
3. collectively the results of the surveys provide a more complete view of overall journal and book publisher policies and opinions regarding ETDs.

Fox et al. (2003) states that some publishers who initially threatened not to publish text derived from ETDs (e.g., American Chemical Society) in most cases changed their policies to adapt to ETDs. Though, in the section on American Chemical Society (ACS) publisher rejections in this dissertation, evidence is provided that ACS does have an issue with students placing ACS published articles inside an ETD. Fox et al. (2003) further states that Keith Jones of Elsevier Science reported in 2001 at the annual ETD conference that ETDs were not a threat to Elsevier Science (as a publishing company). Keith Jones states that ETDs could be considered free advertising for Elsevier Science, allowing Elsevier Science to then publish the “hot” research materials as journal articles (J. Hagen, personal communication, June 5, 2009).

Hagen suggests 80% of publishers are satisfied with the availability of the initial thesis or dissertation in open access, because many articles must be revised before they can be published into an article or book. “The key concerns for the commercial publisher are market, demand and profitability... The key concerns for the student are getting published and citation impact factor” (J. Hagen, personal correspondence, September 28, 2009). Hagen states:

It is also important to remember that publishing norms are discipline specific. For example, the vast majority of the sciences rely on journal article publishing, whereas in the humanities some fields such as History, English Literature and Creative Writing rely on monographic (book) publication for recognition towards promotion and tenure requirements. The markets for journal publishing are very different from that of monographic publishing, and fictional works have an even more delicate situation, with niche markets fading and evolving (i.e. proliferation of electronic books, print-on-demand business models (including for-profit and non-profit) as well as new technologies such as the "Espresso Book Machine"). (J. Hagen, personal correspondence, September 26, 2009)

The argument continues regarding whether publisher rejections are occurring for articles submitted for publication because the articles are derived or taken directly from ETDs. With experienced ETD professionals noting that publisher rejections could occur only 20% of the time, further research is needed to determine if publisher rejections are actually occurring. The primary goal of this study is to answer this question.

Note in Table 3 that some publishers have opposite opinions regarding whether they would accept articles submitted for publication that were derived or taken directly from ETDs. Also, note that 80% of the publishers in these surveys were non-profit publishers (NDLTD, Publisher Surveys, 1999-present), which may influence the publishers' decision regarding their acceptance of ETD derived articles.

The survey conducted in this study will collect data to determine if publisher rejections have been reported by students to university personnel for any publishers (both for-profit or non-profit). For-profit journals may differ regarding their opinions of articles being derived from ETDs, since the potential loss of revenue may be a significant motivating factor influencing publishers' policy and opinions (Mansfield, 1995).

Note in Table 3 that when the four surveys are summarized, 67% (or 48 publishers) state they would welcome or consider articles submitted for publication (that were derived or taken directly from ETDs). An additional 11% (or 16 publishers) state they would accept articles submitted for publication if the articles were substantially different from the ETDs. Four percent (or 5 publishers) indicate that they would accept submitted articles for publication if campus-only access was allowed for the ETDs. Three percent (or 4 publishers) state under no circumstance (electronic or paper) would they accept submitted articles for publication (if they were taken from theses or dissertations). An additional 24% of the publishers state they would *not* consider articles submitted for publication that were derived or taken directly from open access ETDs (NDLTD, Publishers Surveys, 1999-present). This could be an issue for students planning to publish from their ETD and this is focus of this study. Are publishers considering ETDS previously published works?

Table 3

Networked Digital Library of Theses and Dissertations (NDLTD) Publisher Surveys: Do ETDs Deter Publishers?

ETD Publisher Surveys	Type of Journals Surveyed	Prior Publication Policy	% Prior Publication Policy	Will Publish Articles from ETDs?	Policies for Online Documents
Summary of NDLTD Surveys 1999-present, n=148	Most academic areas (as shown below)	Yes	72% (106)	Would consider 44% (62/141)	73% (93/127) Do not have policies that refer to online documents.
For Profit= 16% (24)		Sometimes	20% (31)	Would welcome 41% (58/141)	Why is there no reference to online documents?:
Non Profit= 80% (119)		No	5% (8)	If content was substantially different 9% (12/141)	31% (25/80) Policy is not set yet.
		Don't know	2% (3)	If access is campus-only access 4% (5/141)	25% (20/80) Manuscripts are handled on an individual basis.
				Under no circumstance in paper or electronic 3% (4/123)	24% (19/80) It is implied policy covers both paper and electronic.
					24% (26/107) Open Access ETD constitutes prior publication.
					7% (9/143) Campus restricted access constitutes prior publication.

*The data from all four NDLTD surveys were used to calculate the summary data in this table. The summary data can be found in Appendix N.

Source: NDLTD, Publishers Surveys, 1999-present, <http://lumiere.lib.vt.edu/surveys/results/>. In 1999 Joan Dalton (University of Windsor Librarian) developed the first publishers' survey of publishers/editors of scientific journals to obtain ETD policies and opinions (Fox, et al., 2003). The second survey conducted in 2000 of social science and science-and-technology was conducted by Nancy Seamans (Virginia Tech Librarian and Instructional Technology graduate student) and this survey was in response to student concerns at Virginia Tech in the Science and Technology Studies program (McMillan, 2001). For Seamans' survey, graduate students compiled the list of potential publishers they were most interested in surveying (McMillan, 2001). Bobby Holt (Virginia Tech History graduate student) conducted the third survey in 2002 of humanity book and journal publishers

When looking at individual responses from the NDLTD 2000 survey, Moxley and Weisser (2002) indicate that “journals in physical sciences are the most lenient in defining what constitutes prior publication in an electronic environment” (p. 255), but that publishers from life sciences, medical sciences and social sciences were likely to reject articles submitted for publication because the articles were derived or taken directly from ETDs (Moxley and Weisser, 2002). As noted, further study is needed to determine if publishers from a specific discipline are more likely to reject articles derived or taken directly from ETDs. In this study, the department and/or college was requested from the respondents to identify which departments and/or colleges are more likely to receive publisher rejections.

After summarizing the four NDLTD surveys an average of 24% of publishers state that they would reject articles for publication if the text was derived or taken directly from ETDs. This could indicate that 24 students of 100 could receive publisher rejections for articles derived or taken directly from online theses and dissertations, unless the students select a publication delay, university-only access, or a print-only option if available. Since publisher rejections (or the fear of publisher rejections) are a concern for university personnel and faculty, this study asks several questions regarding the ETD distribution options and program practices that are designed to protect graduate students’ ability to publish from their ETDs (e.g. publication delays, university-only access, or print-only option).

Another small internal university study was conducted by a university to determine if students were receiving publisher rejections. John Eaton, Dean of Graduate

School at Virginia Tech, conducted a survey in 1998 and 1999 of their graduate student alumni to determine if those who published articles had experienced difficulties publishing from their full-text ETDs. At that time no students reported publisher rejections for articles submitted for publication (Fox, et al., 2003).

Surveys of Publishers Opinions and Policies for Online Documents

This section provides additional survey results regarding publisher opinions and policies regarding online documents. A Scholarly Publishing Practice survey was conducted in 2008 by the Association of Learned and Professional Society Publishers (the largest international trade association for professional and scholarly publishers). This was the third of a series of surveys designed to track and understand changes in scholarly publishing practices for online documents (Cox and Cox, 2008). The survey included 400 commercial and non-profit journal publishers. “A response rate of over 65% was achieved including the majority of major journal publishers” (Cox and Cox, 2008, p. 1). Cox and Cox (2008) found the percentage of publishers providing open access articles “grew from 9% in 2005 to 30% in 2008” (p. 1). This survey also indicates “the growth in institutional and subject-based repositories” is requiring publishers to rethink “authors’ rights to post their articles on the Web” (p. 1). In response to the flood of online documents, many publishers are now allowing Web posting of pre-prints, while the final accepted versions are only allowed to be posted by the publishers who published the article (Cox and Cox, 2008).

Morris (2009) also conducted a major survey through the Publishing Research Consortium (PRC) organization to determine if authors’ perceptions of publishers’

agreements were true to what journal policies allowed. Both the Cox and Cox surveys and the PRC surveys are considered highly representative of scholarly journals opinions worldwide, because of the comprehensive collection of large circulation publishers who participated in these surveys.

Morris (2009) discovered that authors consistently underestimated what they are allowed to do with their published works and she notes that most publishers' agreements exceeded what authors wanted to do with their work for both the submitted and accepted versions. The only area that authors overestimated what they could do with their published work was for self-archiving of published versions (Morris, 2009). Morris' data also showed only a small number of publishers allow self-archiving of published versions. To summarize the difference between authors' perceptions and actual publisher policies, Morris (2009) states:

Publishers need to ask themselves why it is that authors have such an inaccurate understanding of their copyright policies, particularly with regard to self-archiving. On the one hand publishers are actually somewhat—and increasingly—more liberal than is generally assumed as far as transfer of copyright is concerned. They are also considerably more liberal with regard to provision of copies to colleagues outside the author's institution, incorporation of the article in the author's subsequent other works, and inclusion in course packs; most publishers allow all of these uses with the final, published version. Publishers are also somewhat more liberal with regard to self-archiving of pre-publication (both submitted and accepted) versions of articles. On the other hand, they are very much more restrictive than authors assume when it comes to the self-archiving of the published version. (p. 17)

Stevan Harnad's research suggest the broad acceptance by publishers for open-access pre-print materials may also extend to ETDs (J. Hagen, personal correspondence, September 26, 2009). The goal of this study is to see if publishers are accepting articles

submitted for publication that have been derived or taken directly from online theses and dissertations.

Self-archiving Published Research

Some suggest that since publishers are becoming accustomed to authors and universities self-archiving their published works, publishers may also accept students providing a copy of theses and dissertations on the Web before articles are derived or taken directly from ETDs (J. Hagen, personal correspondence, June 12, 2009). (Self-archiving is the posting of any digital document to a public Web site [e-Prints, 2009]). This study examines if publishers are considering ETDs self-archived copies.

Harvard's new open access policy encourages faculty to place their work on Harvard's free Web site instead of through for-profit journals (Kladko, 2008). Kladko (2008) states this move is "opposed by journal-industry representatives who say bypassing journals and their peer-review process may harm the quality of published research" (p. ¶3). In the past, authors published their works primarily through print journals, where journals received the money from the print copies, and the authors lost their rights to use their works for other purposes (Espinel and Hadro, 2009). Today, Harnad (2009) is encouraging all universities to mandate self-archiving of published faculty research articles in institutional repositories. If the university self-archives all articles published by their faculty, this means the university has their own archive of all faculty published articles in one online location, instead of the individual publishers holding the rights for others to access these articles in print or online only from the publishers' site. Harnad (2009) argues "if 100% of research articles were freely

accessible, then the usage, impact, productivity and progress of research would be maximized” (p. 24). Annually only 15% of 2.5 million research articles are made available on the Web (Harnad, 2009).

Harnad (2009) also states that approximately “25,000 peer-reviewed journals are published worldwide, in all disciplines and all languages” (p. 13). With 25,000 peer-reviewed journals publishing 2.5 million articles per year worldwide, “most universities can only afford to subscribe to a fraction of those journals” (Harnad, 2009, p. 13). This greatly reduces the accessibility and benefits of research that is conducted worldwide.

Since the idea of depositing all university published articles into a central university repository is new, the *Securing a Hybrid Environment for Research Preservation and Access* (SHERPA) Web site provides a list of publishers who currently allow published articles to be deposited into their own university repositories (<http://www.sherpa.ac.uk/romeo/PDFandIR.html>). “SHERPA is a 33-member consortium of research-led universities within the United Kingdom and the Republic of Ireland,” but the organization has members from universities around the world and is dedicated to promoting open-access research databases worldwide (SHERPA, 2009, ¶1).

Publisher Policies Regarding Online Documents

The survey used in this study asks several questions regarding publication delay policies that are offered to students filing ETDs. Many ETD universities advise students to look at publisher policies where they intend to publish before selecting to delay the publication of their ETDs. For those with concerns that ETDs may cause publishers to reject articles that are derived or taken directly from these ETDs, SHERPA has a Web

site called RoMEO at <http://www.sherpa.ac.uk/romeo> where 477 publisher policies for online documents are currently available. This Web site is provided by the University of Nottingham in Nottingham, England, but it contains large circulation journal publishing policies for journals around the world.

The SHERPA Web site allows authors, faculty and students to follow how journal publishers' policies are adapting for an open-access world. The SHERPA resource can be highly valuable to a student trying to decide if a publication delay is critical if they plan to publish with certain journals. If the journal policy states that an online thesis or dissertation is considered a previously published work, then the student can delay the publication of the thesis or dissertation until the journal article is published. This also allows the student to find out if a particular journal publisher allows a pre-print (article that has not been peer reviewed, such as ETDs) to be posted to their personal Web site and if the publisher allows a post-print (an article that have already been published) to be placed inside a thesis or dissertation. Since universities and students are learning about publisher rejections by trial and error at this time, this resource could make or break students' ability to publish from their theses or dissertations after they graduate. The following section discusses the types of publisher rejections that have occurred and the concerns about publisher rejections in a variety of disciplines.

Evidence of ETD Publisher Rejections

Most of the evidence of ETD publisher rejections presented in this section comes from students or faculty in the area of creative writing. Since creative writers are likely to publish exact text from their theses or dissertations, this may contribute to creative

writing students experiencing more problems with publisher rejections. The second most problematic area was found to be in the field of chemistry. This may have to do with the need to block research findings until patents can be filed and have an monopolist advantage of research results. A third potentially problematic area was found to be in the discipline of history. Since history doctoral graduates are likely to publish books from dissertations, this may contribute to history students and faculty concerns with publisher rejections, even though dissertations are generally revised extensively before they are published into a book format.

At this time, universities with ETD repositories are learning about publisher rejections by trial and error. Publisher rejections must be reported by graduate student alumni to ETD university personnel to discover if adequate education was provided to students regarding distribution options for ETDs (e.g., university-only access, publication delays, print only).

Several universities have experienced publisher rejections for articles taken directly from full-text ETDs for students in creative writing. For this reason, creative writing students have received exemptions from mandatory ETD submission programs at Bowling Green State University (in 2006), Louisiana State University, and University of Iowa (in 2008) (Foster, 2008). Also in 2008, Florida State University began to allow graduates to elect to limit ETD access to Florida State Internet addresses only indefinitely (Foster, 2008).

In 2009, an email was sent on the NDLTD listserv from a library employee at the University of South Florida (USF) requesting information on policies that block all

creative writer theses and dissertations from the Web (NDLTD listserv, personal correspondence June 10, 2009). The email stated “the majority of writing programs across the county have adopted” the practice of blocking creative writing theses and dissertations from Web access (NDLTD listserv, personal correspondence, June 10, 2009). In this study, data were collected to determine if some departments are exempt from depositing their theses and dissertations in their university repositories in full-text, open access format.

At West Virginia University (WVU), the program director of the creative writing program reported students may receive publisher rejections for submitted articles, because the articles were derived or taken directly from full-text, open-access ETDs (J. Hagen, personal correspondence, April 15, 2009). The program director insisted WVU’s current online manuscript policy was detrimental to their creative writing students’ ability to publish from their full-text, open-access ETDs. WVU administration determined this to be a discipline specific publishing norm, and they changed their ETD distribution policy to exempt creative writing students from their mandatory full-text open access ETD requirement. WVU calls this exception to their mandatory policy “an open-ended campus restriction” for creative writers (WVU ETD Policy, 2009, p. 1). The policy states:

Due to special disciplinary publication norms and curriculum requirements, an open-ended campus restriction will be allowed exclusively for M.F.A. Creative Writing program theses, beginning with the spring 2009 semester. (p. 8)

This policy allows all creative writing theses to be available for university access-only indefinitely at the student’s request. Alternate access arrangements are provided when patrons from other academic libraries place a request via interlibrary loan service, where

access is provided via print-on-demand or ship and bill basis for a nominal fee (J. Hagen, personal correspondence, April 15, 2009). (For additional information regarding WVU ETD policy, see Appendix C). Previously WVU also made a revision to their policy allowing students in the history department with pending book contracts to extend their publication delay for their ETDs beyond the usual 5-year limit (Hagen, 2009).

Hagen's (2009) interest in publisher rejections for creative writing articles prompted him to conduct an internal university survey of his Master of Fine Arts (MFA) Creative Writer (CW) students, where he found over a five-year period 50% of the MFA CW students selected campus-restricted access, while the other 50% selected open access. Of those who selected the open access option (and they did not select a publication delay), 80% of those students had a clear trail of successful publishing endeavors (J. Hagen, personal correspondence, April 14, 2009). Hagen (2009) further states one MFA CW student that submitted a full-text, open-access thesis was successful in publishing a short story and subsequently won a publishing contest with another of her fictional works, which is now a book published with Harper Collins. Hagen speculates many publishing concerns are driven by faculty paranoia (faculty experiences with publishing) and the severe competition for niche fiction publishing markets rather than on concrete evidence or hard data (J. Hagen, personal communication, July 10, 2009).

Contrary to Hagen's findings, at Ohio University in Athens, Ohio, a CW student received three publisher rejections when she attempted to publish exact text from her full-text, open-access ETD (Lachman, 2008). Lachman selected to have her thesis placed into open access on the Web before realizing that this would keep her from publishing exact text with publishers. She received publisher rejections were from the Indiana Review journal and two national poetry competitions. When the Indiana Review rejected her

article, they sent the specific policy stating they do not accept text from full-text ETDs.

The Indiana Review policy states:

Our policy on electronic publication is this: works posted to personal blogs may be considered for publication, but work published in any e-zine is a previous publication, as is any part of a thesis or dissertation that has been published electronically. (<http://indianareview.org/general/guidelines.html>, ¶5)

In addition, Lachman (2008) provided the Ohio University ETD office with the text in Figure 5 that she found on the Association of Writers and Writing Programs Director's Handbook Web site. Note that the Association encourages all ETD offices to recommend publication delays or allow optional print filings for all creative writing students.

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.

Source: The Association of Writers and Writing Programs. AWP director's handbook. Retrieved on January 22, 2009, from <http://www.awpwriter.org/pdf/DirectorsHandbook2008.pdf>

Figure 5. Policy on ETDs from the Association of Writers and Writing Programs director's handbook.

Lachman's publisher rejections prompted her to submit the following email to the OhioLINK ETD Center's listserv (personal correspondence, September 22, 2008). This comment from Lachman was in response to a faculty member's comment on the listserv that ETD publisher rejections were urban legends (i.e., publisher rejections are non-existent):

To add another layer to the interesting conversation about creative writers and protecting their publishing rights:

As a former creative writing grad student and as a current employee of an ETD office, I'd urge us to see the reality of both the positives and negatives of having a creative thesis or dissertation online, especially open access. Please remember that a lot of creative writers are trying to publish the **exact** material within their ETDs (poems, short stories, etc.) Thus, the theory that a final book is so vastly different in format or content from an ETD does not stand in all cases. This past fall, I contacted several major book contests and two small presses regarding submitting my creative ETD thesis to them for consideration. The editors let me know that they would be wary of publishing something that was already free to the public online, and that they considered open access ETDs as "previously published" unless they had been heavily edited/revised. Here's a quote from an email from the Colorado Book Prize editor Stephanie G'Schwind: "Were I to publish such a manuscript, I'd be in direct competition with the online version; it could be argued that customers would simply go to the online and, thus, FREE version rather than purchasing the print version--and in the case of course adoptions, I think this would be a very likely possibility...It would be hard to argue that a collection available online is unpublished." (B. Lachman, personal correspondence, September 22, 2008)

Lachman's three publisher rejections and the changes in policies at WVU's history and creative writing programs provide evidence that, first, a student reported three publisher rejections and, second, that universities are responding to concerns of publisher rejections by changing ETD distribution options. Barton (2005) suggests that commercial publishers will always "have a conflict of interest with scholars seeking to make their work as available as possible, since earning that profit" from the publishing of the scholarly work is essential to their livelihood (p. 55). The purpose of this study is to

determine if other graduates have experienced publisher rejections and have reported these to ETD university personnel.

American Chemical Society (ACS) Policy for ETDs

Michael Booch received a report that a student received a publisher rejection from the American Chemical Society (ACS) journal. The student agreed to the terms and conditions of the journal's publishing agreement at the time he published with ACS and then later found that ACS would not allow this article to be a part of his thesis if the thesis was going to be published online (M. Booch, personal communication, December 18, 2009). The ACS policy states students cannot place any part of their theses or dissertations in open access format if they published part of the documents with ACS (ACS Publishing Policy, 2009):

The inclusion of your ACS unpublished or published manuscript is permitted in your thesis in print and microfilm formats. **If ACS has published your paper you may include the manuscript in your thesis on an intranet that is not publicly available** [boldface added]. Your ACS article cannot be posted electronically on a publicly available medium (i.e. one that is not password protected), such as but not limited to, electronic archives, Internet, library server, etc. The only material from your paper that can be posted on a public electronic medium is the article abstract, figures, and tables, and you may link to the article's DOI [digital object identifier – the unique identifier of the electronic document] or post the article's author-directed URL link provided by ACS. (ACS Publishing Policy, 2009)

Other students and universities have also experienced difficulties with ACS's publishing rules. Katherine Johnson found California Institute of Technology (Caltech) has had quite a few students who have had trouble with ACS' rules (personal conversation, December 18, 2009). Johnson states the students must be insistent with ACS and that this usually works. According to Johnson, George Porter, who works with the students on thesis-related copyright issues, provides the following message to ACS regarding their policy

that requires the student to exclude articles from their theses or dissertations that were published with ACS:

The electronic thesis is the version of record at Caltech and must be complete. Use of a URL or citation and abstract is simply insufficient to document the scholarly record and award the degree. Submission of the complete thesis, for distribution through the library server, is a condition of the award of the Doctor of Philosophy degree at the California Institute of Technology. The student must be allowed to comply with the institutional requirements for the award of their degree. Please send a clear statement of permission to allow compliance at the soonest opportunity so that the author may receive their degree. (K. Johnson quote by G. Porter, personal communication, December 18, 2009)

Johnson further states that similar variations on the theme have been necessary with Wiley Publishing and that her “experience indicates that no publisher has proven intransigent with regard to permitting an exception to their policy when pressed by an author” (personal communication, December 18, 2009).

Generally, with mandatory ETD programs, students are not allowed to graduate until the theses or dissertations are uploaded to the online repository. With almost all ETD programs, the student has some control over when the thesis or dissertation is posted to the Web, because she or he can request a publication delay. The ETD distribution choices that students have are discussed in the next section.

ETD Distribution Options

When Virginia Tech began the first mandatory ETD program in 1997, “some students and faculty expressed great concern that publishers would not accept derivative manuscripts or book manuscripts from ETDs” (Moxley and Weisser, 2004, p. 4). When any ETD university program starts, one of the most difficult questions to answer is how ETD policy will affect students’ ability to publish from full-text ETDs (Seamans, 2003).

In this study, distribution options and the changes in distribution options are assessed to determine if current policies are adequate in protecting the students' ability to publish from full-text ETDs. When documents are released electronically, generally a variety of distribution options are made available to students. Table 4 provides an overview of the distribution options and their purposes:

Table 4

ETD Manuscript Web Distribution Options

Type of Access	What this Means	Reason
Open access	Most common distribution option for full-text, open-access ETDs. Theses and dissertations are published to the Web and are available freely on the Web.	The goal is to “promote teaching, learning, and research by establishing flexible and empowering submission procedures and providing unrestricted, remote access to theses and dissertations” (Jewell, Oldfield and Reeves, 2006, p. 194).
Open access with a publication delay	This is the second most common distribution option. The document will be available in open access, but not until a publication delay period has passed.	Theses and dissertations are blocked for a period of time to allow the student time to publish, file patents, or to provide other needed protection before the theses and dissertations become available online. (Publication delay periods generally range from 6 months up to 6 years.)
University-only access	Only patrons of the university library have full-text online access.	Some universities use this method instead of the <i>print-only</i> method to provide a service to their patrons and save shelf space. This method has a higher usage rate than theses and dissertations on shelves, but still restricts access to university patrons only. (Many universities allow interlibrary loan service to provide print and/or electronic versions as requested from other academic libraries.)
University-only access with publication delay	This method can mean one of two things: <ol style="list-style-type: none"> 1. Theses and dissertations are delayed until the publication delay period ends and then campus-only access is available. 2. Theses and dissertations are accessible for campus-only access until publication delay period ends and then the document goes to full-text open access. 	<ol style="list-style-type: none"> 1. Theses and dissertations receive extra protection because it is withheld and then is only available to the university community. 2. Theses and dissertations are <i>not</i> blocked completely during the publication delay period, because the manuscript is available to university patrons only during the publication delay period, then the document is placed in full-text open access.
Print-only access	Theses and dissertations are in paper and are placed on library shelves.	Secure method to assure few people will ever view theses and dissertations. Accessible only from library shelves or Interlibrary Loan.

This table was used in this study to develop the survey questions regarding distribution options within the U.S. Since ETDs began in 1997, universities in the U.S. have made an effort to establish ETD policy that allow graduate student alumni time to publish from their theses and dissertations before the documents go to full-text, open access. In 1997, the first ETD university in the world, Virginia Tech, adopted a publication delay policy (also called embargo) allowing a delay in the release of full-text ETDs for a period of one year. The premise behind this policy was to allow students time to publish, file patents, or to provide other needed protection before theses and dissertations became available online. Almost all universities who established ETD university programs after Virginia Tech adopted similar policies (Surratt, 2005), though many extended the publication delay periods (i.e. from six months to up to six years).

A five-year publication delay was established by West Virginia University in 1998, the second university in the world to require full-text, open-access ETD submissions. The goal behind the increase in the publication delay time period was to allow students time to fulfill the typical publication requirement of a tenured-track faculty member. In addition, to increase greater exposure to theses and dissertations at the universities, both Virginia Tech and West Virginia University allowed university-only access to documents during the publication delay period instead of no access at all (J. Hagen, personal communication, April 15, 2009).

In the past, the goal of ETD university programs has been to release all documents to open access once the publication delay period has ended (J. Hagen and G. McMillan, personal communication, April 15, 2009). But as mentioned, West Virginia

University recently adopted an open-ended publication delay for creative writing students in their Master of Fine Arts degree to assure these students could publish exact or similar text from their theses and dissertations throughout their writing careers (J. Hagen, personal communication, April 15, 2009).

Terms Used to Describe ETD Distribution Options

In 2005, Surratt was able to identify 30 ETD university repositories within the U.S. Surratt collected the terms used to explain ETD distribution options to students and found these terms differed greatly among ETD universities within the U.S. as shown in Table 5.

Table 5

ETD Distribution Options Terms Used

Access Terms	Terms used to Describe ETD Access	
Open access <i>Theses and dissertations are freely available on the Web.</i>	Open access Open communities World wide access Unrestricted access	Freely available Release to Web General access Immediate public distribution
Restricted access <i>Theses and dissertations are blocked for a certain period of time.</i>	Restricted access Available to the university	Release to campus University only
Withheld <i>Theses and dissertations are withheld for a certain period of time or indefinitely.</i>	Withheld Hold No release Restricted access Secured Embargoed	Withheld Closed community Sequestered Delayed release

Source: Surratt, B. E. (September 2005). ETD release policies in American ARL institutions: A preliminary study. Retrieved on May 31, 2009, from <http://txspace.tamu.edu/handle/1969.1/2483>

Table 6 shows the ETD community has been slow to adopt standard vocabulary terms since ETD programs origins in 1997. This was still found to be true today when this researcher reviewed university ETD policies. Surratt (2005) states this lack of non-standard vocabulary and policies impede information sharing and create barriers for ETD program implementation. As the survey was developed for this study, an effort was made to use the clearest and most common ETD terms in the survey questions. The Association of Research Libraries (ARL) Web site <http://digital-scholarship.com/digitalkoans/2005/07/21/etd-policies-and-procedures-at-arl-institutions/> and many other ETD policies were reviewed on the Web to develop an appropriate survey for this study (DigitalKoans, 2009).

The lack of standard practices further supports the need for research in the area of ETD policies and practices. The survey used in this study collects distribution policies and practices in an effort to establish baseline data for additional studies in the area of ETDs within the U.S.

Copyright Concerns for Online Documents

Not long ago, copyright law was a backwater area of jurisprudence and an arcane concern relevant only to a few members of the university community. Today copyright is an important and controversial topic, bearing on law, the market, the distribution of knowledge and culture, and even the significance of information in our democracy. (Cornell University, 2009)

The first copyright protection was granted in the fifteenth century in England to a printer's guild. The Crown gave the printer's guild monopoly status (Suite101, 2009).

Copyright protection for authors was not granted until after the English Civil War. This was the first time that authors were granted the first right to reproduce their own work

(instead of printers). The U.S. did not adopt copyright laws to protect an author's ability to have exclusive rights to their own work until after 1774. "As with the struggles in England, American copyright would prove to be controversial for years to come" (Suite101, 2009, ¶ 8). With the new world of online publishing, copyright law is once again being challenged.

For more than 200 years U.S. Copyright Law provided a monopoly for authors, so competitors could not copy, print, or sell another author's published works at a lower price (Harper, 2009). To assure an author's ability to make a profit, Congress enacted copyright law to make "copying and distributing without the copyright holder's permission a civil wrong and in some cases, a crime" (Harper, 2009, p. 4). The ultimate goal was to maximize the publication and distribution of research and literary works in an effort to increase education and productivity of new works as a whole (Harper, 2009). In a print world, publishers played the role of the distributor of the authors' works, by getting the author to sign over their copyright in exchange for a greater distribution of the authors' works with royalties paid as compensation. Since open access documents appear to compete directly and challenge current U.S. copyright laws, publishers complained "to Congress that the NIH's [National Institutes of Health] public access mandate, passed earlier last year, violated copyright law and international treaties" (Harper, 2009). Hence, with the new world of online publishing, copyright law is once again being challenged.

ProQuest/UMI (2009) also expresses the concern that the scholarly community "increased reliance on electronic resources to conduct graduate research" will continue to

generate “new concerns about fair use, license, and restricted access” (p. 1). Some publishers are restricting the use of their copyrighted materials when they know these materials will be placed into open access (Jewell, Oldfield and Reeves, 2006). The University of Waterloo in Canada was forced to withdraw an ETD due to an image in a manuscript; while the student had a permission letter allowing the inclusion of the image, the copyright owner refused to allow the image to be posted in open access format (Jewell, et al., 2006). Harper (2009) states open access documents destroy the status quo of monopoly-based pricing for print documents that publishers have been dependent upon to make a profit. Open access documents are forcing Americans to question if current U.S. copyright laws are appropriate for their online works (Harper, 2009). Since open access distribution of documents did not exist when U.S. copyright law was written around 1774 (Suite101, 2009), all electronic documents are challenging current copyright laws due to the move from print to electronic forms of publishing. Another example of how copyright infringement is brought to light in an electronic world is shown in Thomas Dowling (Assistant Director of OhioLINK) email that was posted on the OhioLINK listserv:

The publisher NCS Pearson puts out the Beck Depression Inventory and Beck Anxiety Inventory, standard surveys used in psychology research. Authors get permission to use these surveys in their research, but not to reproduce them. Once a year or so, we get a pretty stern e-mail from their attorney letting us know that someone included the text of the survey in their ETD, usually as an appendix. I retroactively embargo the ETD and ask the thesis office to contact the author for an acceptable revision. So far, we haven't faced a situation where the author can't be found.

I gather it was normal and expected in pre-electronic days to include copies of surveys and other diagnostic tools used in your research, and publishers didn't worry about it. Today, not so much.

If Google and Friends are indexing the full text of your PDFs, it's easy for publishers to find violations like by searching your site for unique phrases in their work. If you want to check your site proactively for the BDI, search this in Google: site: our.etd.site.edu +"I do not feel sad" +"I do not feel like a failure."
(T. Dowling, personal correspondence, March 5, 2010)

Kathryn Krause provides another example of copyright issues that ETD universities are confronted with when she posted this message to the NDLTLD listserv regarding copyright issues for students' published articles:

A lot of our medical students submit 3-4 journal articles as their dissertation. These articles can be pre-pubs, post-pubs, even the post-print published versions as they appear in the journal (just copied from the actual published journal). Some the articles are also still in the process of being submitted to journals so it is not known which journal they'll finally end up in.

This makes for a copyright nightmare because each journal has its own policies on whether it allows pre-pubs and how they must be presented (some require links to the official version, specific types of citation, a 12 month embargo, etc., etc.).
(K. Krause, personal correspondence, March 17, 2010)

Another factor to consider with ETDs is that universities are now playing the role of publishers; therefore, they must deal with the legal issues typically presented to publishers—this includes providing a level of protection for intellectual property rights (Surratt, 2005). Many ETD universities are doing this with intellectual property right agreements (see sample in Appendix G). In the past, university libraries used submission licenses to allow them to provide copyrighted materials in their libraries. Many ETD universities are using their libraries' submission licenses as models to develop appropriate intellectual property rights agreements for students to sign (or to agree to online) (Harper, 2009). These agreements explain how online theses or dissertations will be distributed on the Web and how the documents will be used.

The university ETD submission license generally grants the university a non-exclusive license to publish the work online, similar to the ProQuest/UMI Submission License (see a sample university submission license in Appendix H). As shown in these two paragraphs, ETD submission licenses typically have a copyright statement similar to the one suggested by the NDLTD (Fox, et al., 2003):

4.3.1 Sample ETD copyright statement

I [the author] hereby grant to [the institution] and its agents the non-exclusive license to archive and make accessible under [specified conditions] my thesis, dissertation, or project report in whole or in part in all forms of media, now or hereafter known. I [the author] retain all other ownership rights to the copyright of the thesis, dissertation, or project report. I also retain the right to use in future works (such as articles or books) all or part of this thesis or dissertation.

In addition, I hereby certify that, if appropriate, I have obtained written permission from the owner(s) of third party copyrighted matter to be included in my thesis, dissertation, or project report, allowing distribution [as specified].
(p. 16)

The first paragraph above requests the student to grant the non-exclusive rights to publish the thesis or dissertation online for institutional distribution. Since exclusive rights are not granted, this means the student retains the right to publish this same work anywhere and in any form they choose.

The second paragraph above asks the student to certify that he or she has obtained proper written permission, as required by copyright law, to use a third party's copyrighted materials in her or his thesis or dissertation. In some cases, this means the student must contact the copyright holder before using some materials in his or her thesis or dissertation. In this case, generally a letter is requested from the copyright holder that states the student has permission to reprint the copyrighted materials in his or her thesis

or dissertation. The letter is generally placed in the appendix of the thesis or dissertation, or archived internally at the institution.

Historically print and electronic thesis and dissertation policies have allowed the author of the thesis or dissertation to retain the copyright, the institution, or both (NDLTD, Statement about Publications, 2009). The most common practice with theses and dissertations in the U.S. is for the copyright to be owned by the student. However, if the student publishes part of the work with a commercial publisher and signs a transfer of copyright agreement, “the copyright of the student is limited and may influence the future distribution of an ETD” (Surratt, 2005, p. 3). In the U.S., copyright law (Title 17 of the U.S. code) provides authors exclusive rights to distribute and reproduce their works (Surratt, 2005). This video explains in greater details the challenges that authors are presented with in an electronic world when they sign over their copyright to publishers (see video at www.blip.tv/file/743274).

Cox and Cox (2009) found through their Scholarly Publishing Practice surveys (in 2003, 2005 and 2008) that publishers have increased their use of licenses to publish and decreased their use of transfer of copyrights. This is allowing authors much more freedom to publish their works in other locations. However, Cox and Cox (2009) state that many authors believe most publishers still require a transfer of copyrights. A common assumption made by authors is that they believe publishers’ policies keep them from using their work in ways they want to or need to (Cox and Cox, 2008). Many authors believe that if they retain the copyright they can get around publisher restrictions (Morris, 2009). Yet Cox and Cox (2008) state that 65% of all publishers allow some type

of self-archiving based on the number of articles published or will allow the accepted or published version to be self-archived. Today, generally self-archiving means the student is allowed to retain a copy of the published article on their Web site.

Cox and Cox (2008) hope their report on publisher opinions and policies will dispel some of the misunderstandings of publisher policies and show that “publishers’ policies have changed in response to advocacy groups and funding mandates” (Cox and Cox, 2008, p. 2).

ETD Intellectual Property Rights Concerns

As mentioned, open access documents are challenging our views of U.S. copyright laws on *fair use* and in addition are assisting authors in reassessing if they want to sign away their copyrights when they sign publisher agreements. “Copyright is a type of intellectual property relating to how a creative work can be used, altered or duplicated” (RensSearch, 2009). A license to publish (instead of a transfer of copyright) allows the publisher to publish the work, but it does not exclude the author from publishing this same work in other formats and in other locations. This means the student is not giving up the copyright of this work, the student is just allowing the publisher to distribute the work in its current format. The Scholarly Publishing and Academic Resources Coalition (SPARC, 2006) is encouraging authors to retain critical rights before they sign a publisher agreement; first, by reading publisher agreements carefully (“publishers require only your permission to publish an article, not a wholesale transfer of copyright,” ¶ 10), and second, by adding an addendum to the publishing agreement that states the copyright is not being transferred—only a license to publish is being granted (SPARC, 2006).

While it will be some time before copyright law is fully adapted for an electronic world, some authors are selecting a Creative Commons license instead of the default U.S. copyright protection for their electronic works. Creative Commons license allows the authors to keep the copyright, but also allows others to copy and distribute the work as long as proper attribution is given to the authors (Creative Commons, 2009). Many universities provide detailed information on Creative Commons licenses for students filing theses and dissertations. For example, Rensselaer Polytechnic Institute provides detailed instructions, so students understand they have the option of selecting a Creative Commons license instead of U.S. copyright for their thesis or dissertation works. The Catholic University of America also provides an easy-to-follow list defining the six main licenses of Creative Commons, as shown in Appendix J.

Creative Commons licenses provide more realistic and easier-to-understand legal rights for the distribution of works on the Web, but similar to U.S. copyright laws, Creative Commons licenses can be time consuming to understand exactly what rights the student is legally granting for one's work. The Rensselaer Libraries provides these instructions for students selecting Creative Commons license for their ETDs:

If you select the 'Creative Commons' agreement, you authorize Rensselaer to permit the electronic copy of your thesis or dissertation to be viewable and available for download to anyone in accordance with the terms identified in a Creative Commons License 3.0. The license specifies that anyone who views and subsequently uses a copy your thesis or dissertation must attribute the work to you, cannot use the work for any commercial purpose, and cannot modify your work in any way without obtaining your explicit permission.

You might want to choose the Creative Commons option because it potentially provides you with faster professional recognition than is gained by using traditional distribution channels. This can be useful for individuals seeking to establish their artistic credentials. However, it is important to note that a Creative

Commons License 3.0 is not “revocable,” i.e. you cannot change this decision later. Your thesis or dissertation may also be considered as “published” by some entities because you made it available to the general public. Finding a publisher may be harder; and in some European jurisdictions, other intellectual property rights, such as your filing for patent protection, will be affected. (Rensselaer, 2009, ¶7)

In addition, Science Commons, similar to Creative Commons, provides information on how authors can share their work more freely without copyright restrictions in an electronic world (For more information, see <http://scholars.sciencecommons.org/>) (Science Commons, 2009).

SPARC also initiated a new coalition called “The Right to Research Coalition” at www.righttoresearch.org, where the group argues that large quantities of tax dollars are given for the sake of research each year. Once the research has been conducted, it is shared by publishing the results in academic journals. The journals then sell the results back to higher education institutions and researchers at an unaffordable price; leaving higher education institutions with the inability to access their own research results and promote further research (Right to Research Coalition, 2009).

Intellectual property rights concerns often surface when universities create an institutional repository to provide full-text ETDs, or when universities allow or require students to deposit ETDs into the ProQuest/UMI commercial repository (Edminster and Moxley, 2002). U.S. Copyright Law was amended in the Millennium Copyright Act of 1998 to address several electronic publishing concerns; yet many concerns still remain unanswered (Edminster and Moxley, 2002). According to Surratt (2005), some ETD policies provide more intellectual property rights protection than others and some favor open access too heavily. This could lead to copyright violation, “breach of author agreements, or failure of patent applications” (Surratt, 2005, p. 4). This is especially true

when one tries to use U.S. Copyright Laws that were established for print publications and attempts to apply these same laws to open access documents.

ETD Plagiarism Concerns

Copyright violations and plagiarism issues are often confused with regards to intellectual property rights. Copyright infringement occurs when a person uses someone's work without authorization, while plagiarism occurs when a person poses as the author of another's work (Edminster and Moxley, 2002). Some faculty fear placing theses and dissertations online will increase the copying and pasting of text without attribution from these works into other works.

Full-text ETDs have increased campus discussions regarding copyright infringement and plagiarism. While both of these concerns existed before full-text ETDs, the increased exposure of theses and dissertations through electronic means has made the ability to identify both plagiarism and copyright infringement easier (Edminster and Moxley, 2002). For example, this year Pearson Publishing contacted the OhioLINK ETD Center regarding a concern that one or more theses and/or dissertations in its repository contained their copyrighted assessments (the Beck Assessments) (T. Dowling, communication, May 1, 2009). While this issue was addressed quickly by the universities, before full-text ETDs, these assessments would have been nearly impossible to detect from a library shelf in the appendix of 60 to 600 page documents. This concern has prompted some universities, such as the University of Texas at Arlington, to develop Intellectual Property Statement Forms (as shown in Appendix G), where the students are required to sign a statement of originality stating their document does not contain any form of plagiarism.

With the increase in plagiarism checking software (e.g., Turnitin.com, Blackboard Safe Assign), the academic community is already discovering full-text ETDs are more likely to decrease than increase plagiarism. Due to new plagiarism detection software that scans Web documents for comparison to other works, the use of text from a full-text ETD on the Web is far more likely to be identified as plagiarism or copyright infringement than a print document in a library.

ETD Stakeholders

Publication from theses and dissertations involves a group of stakeholders including “graduate students, faculty, universities, and commercial publishers” and each has a set of goals and motivations that may be in conflict with one another (Surratt, 2005, p. 3). For example, students want an advanced degree, employment opportunities, and increased wages; faculty wants to promote scholarship, obtain research funds, and elevate the reputation of the department; the university wants notoriety and has a mission to create and share research with the rest of the world; and commercial publishers want to package and resell research findings of educational institutions for a profit (Surratt, 2005).

Some of the conflicts regarding ETDs include students who want their theses or dissertations online to increase citation while their advisors discourage the students from doing so. Also, sometimes the opposite conflict presents itself: the faculty of a department want all works online, but the students are resistant due to a fear of technology, publisher rejections, or because they would prefer that others do not have full access to their work for personal reasons.

Conclusion

This chapter reviewed the history of print and electronic theses and dissertations in university libraries and at ProQuest/UMI. The first dissertation was written in 1861 (CGS, 2009); since this time the format and dissemination of theses and dissertations have changed significantly. The transition from print to electronic theses and dissertations (ETD) have changed some journal publishers' opinions and policies on how they handle articles submitted for publication that have been derived or taken directly from theses and dissertations. In the U.S., universities have been slow to adopt ETD programs during the early 2000s. Today the adoption rate appears to be speeding up as new technologies and knowledge regarding how to develop ETD programs have become available.

Since 1997, when ETDs began to be distributed in full-text, open access distribution by university libraries and in partial-text, open access distribution by ProQuest/UMI, concerns have been expressed by stakeholders, including universities, faculty, students, and publishers regarding the issue that these documents may be considered published works by large circulation journal and book publishers and be detrimental to alumni's ability to publish from their theses and dissertations.

ETDs have not been fully adopted in higher education institutions within the U.S. for several technical and practical reasons. One of the greatest fears regarding ETDs is the possibility that these online documents could be considered previously published works by the publishers and decrease graduate student alumni's ability to publish derivative works from their ETDs.

With the great changes occurring in the publishing industry by way of articles moving from print to electronic formats, ETD university personnel remain aware that some unresolved issues still exist (Jewell, Oldfield and Reeves, 2006). Since ETDs began

in 1997, concerns have been expressed regarding ETDs on the Web, the importance of preservation, and intellectual property right issues (Jewell, Oldfield and Reeves, 2006, p. 195). Copyright laws have changed minimally to accommodate online documents and will continue to change as the masses force the adoption of new copyright laws that recognize electronic documents as a legitimate way to distribute published works both for profit or for free if desired by the author.

Governmental and publisher open access initiatives are impacting society's opinions of ETDs. To achieve a higher level of acceptance for full-text and partial-text ETDs, issues must be addressed in ways that are satisfactory to all stakeholders—students, faculty, publishers, and higher education administration. Since many publishers have not yet adopted policies regarding electronic documents (NDLTD, Publisher Surveys, 1999-present), coming up with clear-cut solutions may not occur for some time, and one may never be able to address these issues completely due to the tremendous changes occurring in the publishing industry (Harper, 2009; Edminster, 2002). Flexibility on the part of ETD institutions, the U.S. Copyright office, and publishers will be essential to address issues for online documents as they arise.

Barton (2005) notes there are many advantages of full-text ETDs over traditional print copies that we have yet to see, because the low exposure of print theses and dissertations assured that theses and dissertations were gravely underutilized. The readership for theses and dissertations before they became electronic was low, and the only mechanism for sharing newly created scholarship was through academic conferences, journal publications, or through the publishing of books (Barton, 2005). Before ETDs, the success of a thesis or dissertation could only be measured in the number of citations or references found in other works (Barton, 2005). The growth and

development of ETD technologies in the future will be interesting to watch as universities continue to develop ETD programs that provide theses and dissertations on the Web for free; and as the print industry changes their methods for distributing research articles and books, and the U.S. copyright law changes to accommodate online documents.

CHAPTER 3: METHODOLOGY

This chapter discusses the research design, population, design of survey, hypothesis/other inquiries, and a summary of the study. Quantitative research techniques are used in this study to determine the population, design and to analyze the results.

Research Design

In this study, a survey is used to collect data from Electronic Thesis and Dissertation (ETD) university personnel. According to Trochim (2006), this study utilizes quasi-experimental techniques because randomized assignment is not used to select the participants of this study. The known population was identified by selecting well-defined lists of graduate schools and other lists of universities that file ETDs within the U.S., and then each university was contacted to obtain the ETD contact person's name. The survey was sent directly to the ETD program contacts' email addresses to assure the entire population obtained through this research were contacted and had equal opportunity to complete the survey. ETD university programs were identified through Web-site searches, through emails contacts, and through phone calls as needed.

Trochim (2006) also suggest that the test design in this study could be considered a proxy pretest design, because a "proxy" (or substitute) variable is used to estimate the level of students reporting publisher rejections before 1997, when theses and dissertations were in print. In this study, an assumption is made that publisher rejections for articles from print theses and dissertations were zero (0) or very close to zero (0), because there is much evidence that shows print theses and dissertations were gravely underutilized before 1997 (Fox, 1996; Hagen, 2009; McMillan, 2001). To assure that universities were

experiencing nearly zero (0) reports from students regarding publisher rejections before 1997, question 23 asks: “Before ETDs (when theses and dissertations were only in paper), did your university have any difficulties with journals or book publishers considering theses and dissertations previously published works?” The survey results in this study confirmed that this is true almost 100% of the time (only three respondents stated they had a concern that print theses and dissertations may be considered previously published). These comments from the 2.7% who stated print theses and dissertations may be considered previously published included: 1) the library allowed print publication delays so students could publish articles or books first; 2) only complaint was from English--creative writing; 3) to a “very small degree.”

Pilot Study

This researcher began with qualitative interviews of faculty in the history and journalism departments at Ohio University in Athens, Ohio, to determine the greatest faculty concerns regarding ETDs. These two departments were selected because the greatest resistance to ETDs was expressed from individuals in these two departments at Ohio University. Through this pilot study one of the greatest articulated fears regarding ETDs was that publishers may reject master/doctoral graduate student alumni’s articles/books submitted for publication, because the articles are derived or taken directly from ETDs.

Another strong fear that was expressed by these faculty members was that ETDs would make it easier for students to copy and paste from theses and dissertations; therefore, perhaps encouraging or increasing the likelihood of plagiarism. As discussed in the “ETD Plagiarism Concerns” section of this dissertation, ETDs have been found to

deter students from plagiarizing due to the ease of detecting plagiarism through the use of plagiarism checking software (e.g., Turnitin.com, Blackboard Safe Assign). As a result, if someone takes text from a full-text ETD on the Web, plagiarism checking software is highly likely to detect the text taken from another ETD. While it would be nearly impossible to detect that this same text was taken in a print thesis or dissertation on a library shelf, unless someone went to the library and reviews the two documents side-by-side.

Survey Instrument

Since several publishers' surveys were conducted by the ND LTD to verify publisher opinions and policies regarding online documents (including ETDs) and no definitive answers were found, this study takes a different approach by using a survey of ETD university personnel to determine if master and doctoral graduate student alumni are reporting publisher rejections to ETD university personnel. To assist with the design of the survey in this study, two veteran ETD professionals from Virginia Tech and West Virginia University were consulted to assess the accuracy and completeness of the questions posed in the dissertation.

The data in this dissertation were collected by emailing a Web link to previously identified ETD professionals in universities within the U.S (see Appendix K). The online survey software called Survey Monkey was used to build the electronic survey and data were downloaded from the Web and analyzed with the Statistical Package for Social Sciences (SPSS) software. Some qualitative data were collected in the survey and were used to explain the results of the quantitative statistical tests when appropriate. Also, additional qualitative data were collected through follow up emails and phone calls as

needed to clarify data collected and to gain a greater understanding of the issues discussed in this dissertation.

Population

The target population in this study includes all ETD programs within the U.S. that meet the institutions of higher education Carnegie Classification categories of Doctoral/Research Universities and Master's Colleges and Universities (Carnegie, 2009). At the beginning of this study, no comprehensive list of ETD programs within the U.S. was available. To assure a comprehensive list of ETD university programs were surveyed within the U.S., Valerie Martin Conley (Associate Professor of Higher Education, at Ohio University), John Hagen and Gail McMillan (Board Members from the Networked Digital Library of Theses and Dissertations consortium--NDLTD), Thom Hickey (of Online Computer Library Center--OCLC), and Austin McLean (of ProQuest/UMI) were consulted to determine the best method for obtaining a comprehensive list of ETD universities within the U.S.

The reason the three organizations above were considered important to the input for this study includes that the NDLTD consortium is the largest international consortium of ETD universities in the world, OCLC is a service provider for more than 71,000 U.S. libraries and harvests more than 90 Open Access Initiative (OAI) repositories (including ETD repositories), and ProQuest/UMI is a commercial provider of the largest centralized repository for ETDs in the world.

After further investigation, the Council of Graduate Schools' (CGS) membership list of 520 members was select as the initial contact list for locating ETD universities

within the U.S. The members of the CGS “annually award more than 95 percent of all U.S. doctorates and over 84 percent of all U.S. master's degrees” (CGS, 2009). Since this study focuses on surveying graduate schools that grant graduate doctoral and master degrees, this list provided a good springboard for locating ETD programs within the U.S. To further assure the CGS list included all known ETD universities, the 126 university membership list of Networked Digital Library of Theses and Dissertations (NDLTD) was compared to the CGS membership list. After determining that all NDLTD members were all also members of the CGS, the master list was compared to the following additional lists: OCLC digital repositories, the ProQuest/UMI’s ETD Administrator list of 197 U.S. institutions that upload ETDs electronically to ProQuest/UMI, the Association of Research Libraries (ARL) list of ETD repositories, the Ohio statewide repository called OhioLINK ETD Center, the Texas statewide ETD repository, and the Missouri University’s Digital Scholarly Archive lists. Additional ETD universities found during this research project were also compared and added to the master list when appropriate. Through the process of comparing lists, 92 additional universities were added to the initial list of CGS members. In all, 520 universities were contacted to determine if they filed ETDs either in an institutional repository and/or in the ProQuest/UMI centralized commercial repository. Of the 520 universities, 403 were identified as filing ETDs. The ETD contact person’s name was obtained, and these individuals were emailed directly and asked to complete the survey for this study.

The G*Power computer software was used to determine the appropriate sample size for this study. “The G*Power software is a high-precision statistical power analyses

for the most common statistical tests in behavioral research” that assist with determining the correct sample size for quantitative studies (Buchner, Faul and Erdfelder, 2009, p. 1). Light, Singer and Willett (1990) state the effect size measure is useful for statistical power analyses in calculating the minimum sample size needed for a certain level of confidence and for later using this number in a meta-analysis (when someone wants to summarize “findings from a specific area of research”) (p. 28).

Cohen (1988) suggests using a medium effect size ($\beta = 0.80$ with $\alpha = 0.05$) for behavioral science research to achieve a power of $\beta = 0.80$ with $\alpha = 0.05$ (a medium effect size). The G*Power software was used to determine that with a medium effect size that 108 responses would be needed for this study to be considered a statistically significant study. Four-hundred and three (403) ETD university programs personnel were directly solicited by email to respond to this survey within the U.S. A response rate of $108/403 = .27$ or 27% was the target response rate for this study.

Design of the Survey Form

As discussed in Chapter 2, the results of the NDLTD, the Publishing Research Consortium (PRC), and the Scholarly Publishing Practice publisher surveys were unsure how publishers from a variety of disciplines would handle articles submitted for publication that were derived or taken directly from online documents.

This study focused on administering a survey directly to ETD university personnel to determine if graduates have reported publisher rejections for submitted articles due to the articles being derived or taken directly from ETDs. The survey in this study focused on collecting information regarding whether publisher rejections have

occurred. If they have occurred, then the department name was asked for. If some departments' faculty and students were more concerned than others departments about publisher rejections, then the distribution options that were available to assist students in avoiding publisher rejections were examined.

To increase the accuracy of the survey, ETD university distribution options, ETD and publisher surveys, and many journal articles were reviewed to determine current ETD university concerns and practices. Two NDLTD board members were consulted to assess the accuracy and completeness of the questions used in the survey. These individuals are:

1. Gail McMillan, Director of Digital Library and Archives, Virginia Tech, Blacksburg, VA.
2. John Hagen, Institutional Repository Programs Coordinator, West Virginia University Libraries, Morgantown, WV.

These individuals were instrumental in developing the first two institutional repositories within the U.S. that held full-text, open-access ETDs (1997 and 1998 respectively) (J. Hagen, personal communication, April 15, 2009). The survey contains 26 questions regarding if universities have received reports of ETD publisher rejections, what ETD distribution options are provided to students, and other questions are asked to evaluate ETD program practices that may impact the number of publisher rejections. Since all questions, were structured to be required fields in the online survey, complete data were collected from all respondents (except for the two optional qualitative questions at the end of the survey--see Appendix A).

Since the NDLTD consortium had previously surveyed publishers to ascertain their policies and opinions regarding ETDs, both NDLTD board members, who were consulted for assistance with the survey design, strongly supported the approach of determining if publisher rejections had occurred by contacting ETD university personnel directly.

This study is designed to bridge the gap between what publishers stated through surveys they would do with articles submitted for publication (that were derived or taken directly from ETDs) and what publishers were actually doing with articles submitted for publication that were derived or taken directly from ETDs. Since several surveys were conducted of publisher policies and opinions, this survey sets out to assess actual publisher behaviors towards articles submitted for publication that have been derived or taken directly from ETDs.

Data Analysis

Since four surveys conducted by the NDLTD of large circulation journal and book publishers policies and other publisher surveys provide no definitive answers regarding how publishers would treat articles derived or taken directly from full- and partial-text ETDs, this study focuses on collecting data directly from ETD university personnel to ascertain if publishing rejections were actually occurring and were reported by graduate student alumni to ETD university personnel. In addition, other questions were asked to ascertain if ETD policies and practices were developed to assist students in avoiding publisher rejections.

The survey data were exported directly from Survey Monkey into a spreadsheet and reviewed for accuracy and completeness. The data were then imported into SPSS.

The SPSS *Descriptives* command was used to determine the percentage of missing data. Records were examined for coding errors. The respondents were contacted if clarifications, and/or corrections needed to be made to increase the accuracy and integrity of the data collected. Since all questions requiring responses were set to automatically prompt the respondents for answers. No records were deleted due to missing data, but one record was deleted because the respondent did not know the answer to most questions. The *Outlier* feature in SPSS was also be used to examine the data. The following reports and charts were used to assess data extremes and accuracy: Extreme Values, Histogram, and Boxplot.

“Setting up and testing hypotheses is an essential part of statistical inference,” because this allows a theory or claim to be tested for scientific significance (Easton & McColl, 2009). The research hypothesis (H_1) and null hypothesis (H_0) are presented below along with additional research questions. Survey question 20 and 21 are used in this study to test the null hypothesis and descriptive statistics are used to determine if the null hypothesis (H_0) is rejected.

Hypothesis

- H_1 : Ten percent or more of graduate student alumni who filed ETDs *are* experiencing publisher rejections for articles submitted for publication, because the articles were derived or taken directly from ETDs.
- H_0 : Ten percent or more of graduate student alumni who filed ETDs *are not* experiencing publisher rejections for articles submitted for publication, because the articles were derived or taken directly from ETDs.

If the null hypothesis (H_0) is rejected (graduate student alumni are reporting publisher rejections at a significant level), additional questions are asked to determine what factors may predict publisher rejections.

Chi Squared Statistical Tests

Statistical Test if Null Hypothesis is Rejected

Chi squared crosstab statistical tests will be used to show if there is an association between ETD program factors and the number of publisher rejections. For all chi squared crosstab statistical tests, the data will be placed into two to five categories and the data collected will be reasonably balanced within these categories. The following additional questions will be explored:

1. *Do universities filing ETDs for a longer period of time experience a different number of publisher rejections than those who have filed ETDs a shorter period of time?* A chi squared crosstab table will be used to determine if this is an association between the number of reported publisher rejections within the past year (question 20) and the ETD program's length of time in operation (question 4).
2. *Are universities with a larger number of ETDs experiencing a different number of publisher rejections than those filing a smaller number of ETDs?*
The size of an ETD university program may impact the number of publisher rejections that are received. To assess the question, a chi square crosstab table will be used to determine if there is an association between the number of reported publisher rejections within the past year (question 20) and the number of ETDs filed in the last 12 months (question 5).

3. *Do universities with mandatory ETD submission policies experience a different number of publisher rejections than non-mandatory ETD universities?* A chi square crosstab table will be used to determine if there is an association between the number of publisher rejections within the past year (question 20) and the program's submission requirement of mandatory, partially mandatory and non-mandatory ETDs (question 7).

Statistical Test if Null Hypothesis is Not Rejected

If publisher rejections are not found to be at a significant level, the following questions will be asked for further analysis of data collected.

1. *Do universities filing ETDs for a longer period of time experience a different number of distribution options modifications than those who have filed ETDs for a shorter period of time?* Since modifying the distribution option list that is made available to students, can impact the number of publisher rejections received by students, a chi squared crosstab table will be used to determine if this is an association between the number of distribution option modifications over the life of the ETD program (question 14) and the ETD programs' length of time in operation (question 4).
2. *Do universities filing ETDs for a longer period of time require ETD mandatory submissions more often than those filing ETDs for a shorter period of time?* If ETD derived articles are experiencing a low number of publisher rejections, then one would expect that ETDs would become mandatory for all students at some point in the ETD program's life. To assess this question, a chi square crosstab table will be used to determine if there is an association between the ETD

program's length of time in operation (question 4) and the requirement of mandatory ETD submissions (question 7).

3. *Do universities filing ETDs for a longer period of time have a larger percentage of ETDs with publication delays than those filing ETDs for a shorter period of time?* Since the publication delay is the primarily tool used to assist students in avoiding publisher rejections, one would expect publication delays to increase if students are having troubles deriving and publishing articles from their ETDs. A chi squared crosstab table will be used to determine if this is an association between the ETD program's length of time in operation (question 4) and the percentage of ETDs with publication delays (question 16).

Further Analysis

The following two questions ask about faculty fears of publisher rejections and which departments/colleges faculty are most concerned with publisher rejections:

1. *Do faculty concerns regarding publisher rejections cause ETD program administrators to modify distribution options?* If faculty are concerned about publisher rejections one would assume modifications would be made to the university distribution options offered (e.g. publication delay time periods, university-only access options). To assess this question, a chi square crosstab table will be used to examine if there is an association between the level of faculty concerns (question 23) and the number of modifications to ETD distribution options (question 14).
2. *Are some ETD departments/colleges experiencing a different number of publisher rejections or concerns than others?* ETD university personnel are asked to list the departments/colleges that have experienced the most publisher rejections, that

have the most faculty who have a fear of publisher rejections, and that have been exempted from ETD submission rules due to actual publisher rejections or concerns with publisher rejections. The departments/colleges reported will be presented in a table format and will provide a list of the departments and/or colleges (questions 7, 8, 18, 19 and 20-23, 25 and 26 prompt the respondents to provide department or college names when applicable).

To further assess ETD universities response to publisher rejections or the fear of publisher rejections, the survey questions 14-19 ask specific questions regarding ETD publication delays and policies. These questions will be provided in a table format for data analysis purposes:

1. *Do ETD programs with fewer years in operation change their distribution options less? (question 4 and 14)*
2. *Over the life of your ETD program, have your request for publication delays? Increased? Decreased? or Remained about the same? (question 15)*
3. *In the last 12 months, what percentage of ETD students requested a publication delay? (question 16)*
4. *Of the distribution options available to your students, do you feel these allow adequate time for graduates to publish derived or exact text from ETDs? (question 17)*
5. *Have you or your university ever allowed a change in a distribution option because the student discovered the open access document was interfering with his or her ability to publish from an online thesis or dissertation? (question 18)*

6. *Do you encourage publication delays for: Theses? Dissertations? It depends on the department/college? I don't encourage publication delays? I see no purpose for a publication delay? or Other?* (question 19)

Procedure

The number of publisher rejections will be determined first, then the above mentioned chi squared test will be ran to see if there is an association between the number of publisher rejections and other ETD program traits. The Data will be recoded as needed for data comparison purposes.

If publisher rejections are not found to be at a significant level, the other chi square statistic test will be ran as noted above to further assess the data collected. Regardless of findings additional questions will be asked regarding the relationship between other data collected in this study as noted above. The next chapter discusses the survey results and how the above mentioned statistics are used in for analysis purposes in this study.

CHAPTER 4: RESULTS

Since ETDs started in 1997, the concern has been that publishers could consider ETDs previously published works due to their much larger distribution on the Web (as opposed to their location on library shelves where they were traditionally underutilized). The purpose of this study was to determine if large circulation journal and book publishers were rejecting articles submitted for publication because the submitted articles/books were derived from Electronic Theses and Dissertations (ETDs). This chapter includes the findings of the research questions asked in this study.

Handling of Survey Data

Sample Size

A list of 520 identified universities (as discussed in the Population section of Chapter 3) was used to identify which universities had ETD programs; 403 of these universities were identified as having ETD programs as determined by Web searches, email contact, and phone calls. Of the 403, 112 universities filed full-text ETDs in university repositories and 333 were identified as filing full- and/or partial-text ETDs in the centralized ProQuest/UMI commercial ETD repository. Of the 112 that responded to the survey, 109 were used for data analysis. Of the 109, 55% (60/109) filed ETDs in both institutional repositories and in the ProQuest/UMI repository simultaneously.

In this study, the G*Power software and Cohen's (1988) medium effect size (with $\alpha = 0.05$) were used to assure an adequate sample size of 108 respondents for statistical significance for this quantitative behavioral research study (Buchner, Faul and Erdfelder, 2009). A response rate of $108/403 = .27$ or 27% was the needed response rate for this

study and a response rate of $114/403 = .28$ or 28% was received. Once records were removed as discussed in the following section, a useable response rate of $109/403 = .27$ or 27% was achieved.

The respondents in this study are considered ETD professionals and generally work in U.S. university graduate schools or libraries. These individuals work directly with students who are filing ETDs. These individuals advise students on how to select ETD distribution options, publication delays, copyright, and other general filing procedures.

The collection of 112 survey responses took appropriately eight weeks. An email was sent with a link to the survey each week thanking those that had participated in the survey the week before and the email requested anyone who had not responded to the survey to respond promptly. The messages were changes each week to appeal to the respondents to act in responding to the study.

Exporting and Cleaning Survey Data

Once the targeted response rate of 108 respondents or greater was received, the survey data were exported directly from Survey Monkey's online survey database by requesting that all fields be exported for data analysis into a Microsoft Excel spreadsheet. The data were then imported into Statistical Package for Social Sciences (SPSS) and reviewed in detail for accuracy, completeness and coding errors. The SPSS *Descriptives* command was used to determine the percentage of missing data. One respondent was contacted for clarification, and a correction was made to increase accuracy and integrity of the data collected. The Outlier, Extreme Values, Histogram, and Boxplot features in

SPSS were also used to examine the data and identify extremes and potential inaccuracies in the data received. While some extreme values were found, all were checked for accuracy and no records were changed or removed as a result.

Three records were removed through SPSS because the universities filed print theses and dissertations instead of electronic theses and dissertations (ETDs) as required for inclusion in this study. In this dissertation, ETD program inclusion was defined as any university that provides theses and dissertations in full- or partial-text open access format on the Web. This includes ETD deposits into institutional-operated repositories (full-text ETDs) and into the ProQuest/UMI commercial repository (partial- and/or full-text ETDs).

Since all survey questions were set as required fields through Survey Monkey software (except the last two open-ended questions), no records were deleted due to missing data, but one record was deleted because the respondent answered “Don’t know” to almost every question. One additional record was deleted because two surveys were received from the same university in error. The survey of the ETD professional in the Graduate College that worked the more directly with students filing ETDs was maintained. The remaining 109 ETD university surveys were used for analysis purposes in this study.

Publisher Rejection Findings

The research hypothesis (H_1) and null hypothesis (H_0) are presented below. Survey questions 20 and 21 are used in this study to test the null hypothesis and descriptive statistics were used to determine if the null hypothesis (H_0) was rejected.

Hypothesis

H₁: Ten percent or more of graduate student alumni who filed ETDs *are* experiencing publisher rejections for articles submitted for publication, because the articles were derived or taken directly from ETDs.

H₀: Ten percent or more of graduate student alumni who filed ETDs *are not* experiencing publisher rejections for articles submitted for publication, because the articles were derived or taken directly from ETDs.

Of the 109 respondents in this study, two universities reported three publisher rejections. The first university reported two publisher rejections in the program of theology within the last 12 months (question 20) and a second university reported one publisher rejection since the inception of the program over the past two years (question 21). The second respondent did not report the program of the student as requested in the survey and this researcher was unable to obtain this information. This is less than 2% of the ETD universities responded that students reported publisher rejections in this study (1.8% = 2 publisher rejections/109 universities).

For the first university that reported two publisher rejections, the ETDs were full-text ETDs in the ProQuest/UMI commercial repository. Full-text ETDs in the ProQuest/UMI repository are as freely available as full-text ETDs in university repositories. Once the student or university pays for open access ETDs in the ProQuest/UMI commercial repository, there is no charge to view these open access theses and dissertations indefinitely.

Since the null hypothesis (H_0) was not rejected (graduate student alumni are not reporting publisher rejections at a significant level), it was not appropriate to conduct the chi squared crosstab statistical tests to show if there are associations between a variety of ETD program factors and the number of publisher rejections received by universities as discussed in Chapter 3; therefore, the second set of chi squared crosstab statistical tests are answered here.

Statistical Test if Null Hypothesis is Not Rejected

Since publisher rejections were not found to be at a significant level, the following questions are asked for further analysis of data collected. Chi square (X^2) statistical tests are used in the study to investigate if distribution of variables are different from one another.

1. *Universities filing ETDs for a longer period of time are not experiencing a different number of distribution option modifications than those who have filed ETDs for a shorter period of time.* Since modifying the distribution option list is an indication that standard ETD practices have not been established in ETD universities and that publisher rejections have potentially been reported by students, a chi squared crosstab table is used to determine if this is an association between the ETD programs' length of time in operation (question 4) and the number of distribution option modifications over the life of the ETD program (question 14).

When theses and dissertations were available only in print, there was only one distribution method – print. With ETDs, students have a list of distribution options to choose from. These include open access, open access with a publication delay,

university-access, university-access with a publication delay, no access, print, etc. There are several reasons why theses and dissertations are not released to the Web immediately, but as explained in this dissertation, the fear that theses and dissertations may be considered previously published works is one of the major concerns (as reported by 80% of the respondents in this study). To explore if ETD university decision makers have established distribution option lists that are appropriate for all academic departments, question 14 asked :“Over the life of your ETD program, how many times has your institution modified or added distribution options?”

To determine if the probability ($p=.650$) that the number of years in operation predicts the number of modification to distribution options, a chi square distribution table was created through SPSS ($\chi^2 = 2.47$ with $df=4$).

Table 6

Number of Years ETD Programs are in Operation Compared to the Number of Modifications Made to Distribution Options

No. of Yrs. in Operation	Number of Modifications to Distribution Options			Total
	1 or 2 Times	3 or 4 Times	5 to Many Times	
.5 to 4 yrs	23	2	2	27
5 to 8 yrs	22	5	1	28
9 to 14 yrs	8	2	0	10
Total	53	9	3	65

$\chi^2=2.47; df=4; p=0.650$

2. *Universities filing ETDs for a longer period of time are just as likely to require ETD mandatory submissions as those filing ETDs for a shorter period of time.* If ETD derived articles are experiencing a low number of publisher rejections, then one would expect that ETDs would become mandatory for all students at some point in the ETD program's life. To assess this question, a chi square crosstab table is used to determine if there is an association between the ETD program's length of time in operation (question 4) and the requirement of mandatory ETD submissions (question 7).

When the number of years in operation was compared to the adoption of submission types (i.e. mandatory, partial-mandatory, non-mandatory), at first glance the data shows that new programs appear to be starting out by requiring mandatory submission, because six out of nine of the youngest programs in this study already require mandatory ETD submissions. In comparison, six out of nine of the oldest programs in this study require mandatory ETD submissions.

Table 7

Number of Years ETD Program was in Operation in Comparison to ETD Submission Requirements

No. of Years in Operation	Mandatory	Partial-mandatory	Non-mandatory
.5 to 4 years	34	8	17
5 to 8 years	26	8	2
9 to 14 years	7	3	2
Total*	67	19	21
Percentage of Total	62%	17%	19%

$X^2=8.37$; $df=4$; $p=0.079$

*two universities stated they did not know their required submission type

3. *Universities filing ETDs for a longer period of time have the same number of ETDs with publication delays as those filing ETDs for a shorter period of time.*

Since the publication delay is the primarily tool used to assist students in avoiding publisher rejections, one would expect publication delays to increase if students are having troubles publishing articles derived from their ETDs. A chi squared crosstab table is used to determine if this is an association between the ETD program's length of time in operation (question 4) and the percentage of ETDs with publication delays (question 16).

When the number of years in operation is compared to the percentage of ETDs with publication delays at each university, at first glance the data show the majority of new ETD programs (.5 to 4 years in operation) have the greatest percentage of ETDs with publication delays (in the range of 34% to 66% and 67% to 100% percentage of all ETDs

filed) as shown in Table 8. One ETD program in operation for 1.5 years reported that 98% of all ETDs had publications delays (500 ETDs total were filed and 10 print copies). Of the six ETD programs that have been in operation for less than four years and that granted greater than 34% of all ETDs publication delays, one-half filed ETDs for two years or less (at 1, 1.5 and 2 years in operation) and four stated they encourage publication delays. This indicates that some less experienced ETD programs appear to be playing it safe by granting larger percentages of their total ETDs publication delays.

Table 8

Number of Years in Operation Compared to the Percentage of Publication Delays

No. of ETDs Filed	Percentage of ETD Publication Delays		
	.01% to 33% Pub Delays	34% to 66% Pub Delays	67% to 100% Pub Delays
.5 to 4 yrs	37	5	1
5 to 8 yrs	27	3	0
9 to 14 yrs	7	2	0
Total*	71	10	2

$X^2=1.85; df=4; p=0.93$

*8 reported zero (0) publication delays, 8 reported they do not offer publication delays, and 10 report the percentage of publication delays is unknown.

Other Supporting Evidence for this Study

Since there are several ETD program practices that can impact the occurrence of publisher rejections, this section discusses the ETD practices that can assist students in avoiding publisher rejections. This section includes ETD distribution options, faculty

concerns regarding student publisher rejections, types of repositories and documents filed, number of years ETDs were filed by university, and mandatory ETD filing versus non-mandatory ETD filing.

ETD Distribution Options

To explore if ETD university decision makers have established distribution option lists that are appropriate for all academic departments, question 14 asked: “Over the life of your ETD program, how many times has your institution modified or added distribution options?” In Table 7, the total number of each modifications type (no modifications, 1 modification, 2 modifications, etc.) was counted to determine how many times each university selected each modification type. Note that 38% (or 41/109) of ETD universities state they have never modified their distribution option lists offer to students, 33% (or 36/109) modified their distribution option lists one time, 16% (or 17/109) made three modifications, .9% (or 1/109) made four modifications and 1.8% (or 2/109) have modified their distribution option lists five times. These percentages are shown in Table 9 and Figure 6.

Table 9

Over the Life of Your ETD Program, How Many Times has Your Institution Modified or Added Distribution Options?

Number of Modifications* to Distribution Options	% of Total	Total Responses
No changes	38%	41
1 modification	33%	36
2 modifications	16%	17
3 modifications	7%	8
4 modifications	1%	1
5 modifications	2%	2
Many	1%	1

N=109

*Reasons for modifications:

1. creative writers
2. added indefinite delay for creative writers
3. faculty extended the publication delay period
4. publication delay expanded
5. American Association of Writers and Writing Programs encouraged us to allow indefinite delays for creative writers
6. clarity options and changed number of years for delays
7. refinement
8. changed to mandatory submission
9. removed campus encryption
10. UMI caused change
11. moved documents from Intranet to Internet
12. removed delays due to Graduate Council's request

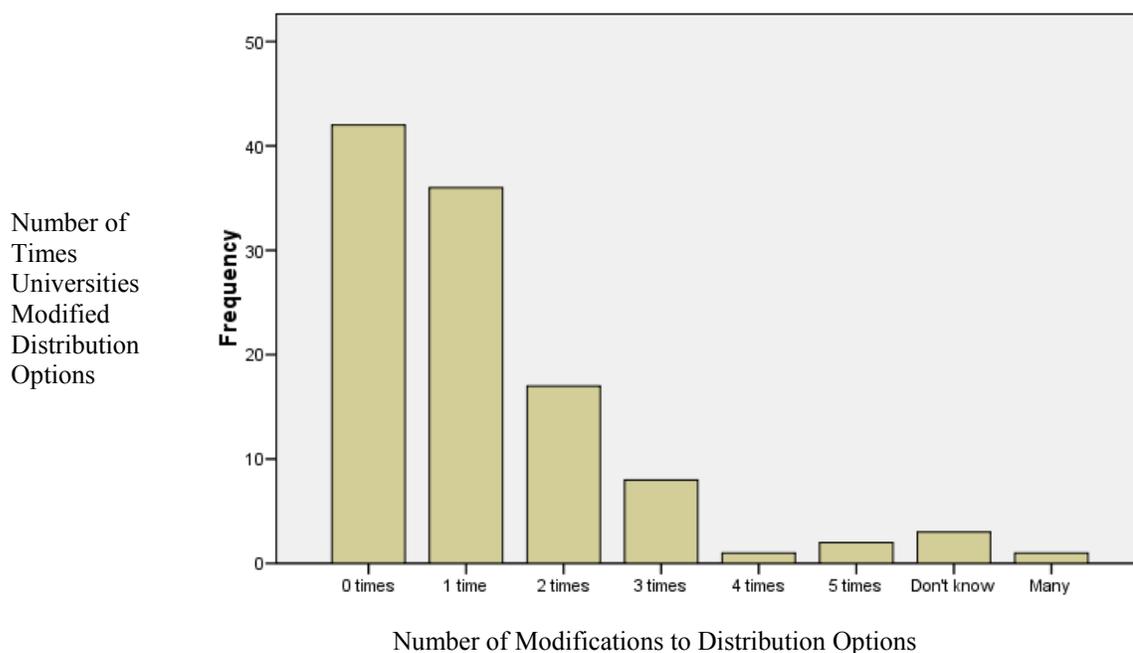


Figure 6. Number of times modifications have been made to existing distribution option lists.

Faculty Concerns Regarding Student Publisher Rejections

Another indicator that ETD distribution options are inadequate to protect students' abilities to publish has to do with faculty and student concerns regarding this issue. If faculty and students are concerned about students in their department receiving publisher rejections, then one would expect ETD university decision makers, at the faculty's request, to modify the distribution option list to assist students in avoiding publisher rejections (e.g. publication delay time periods, university-only access options). For this reason, the following question is asked: *Do faculty concerns regarding publisher rejections cause ETD program administration to modify distribution options?* Table 8 shows that neither the percentage of faculty nor the percentage of student concerns regarding students receiving publisher rejections correlates with the number of

modifications that ETD universities have made to their distribution option lists. In fact, the largest percentage (22%) of faculty concerns aligns with ETD universities who made no modifications their distribution option lists.

The percentage of student concerns are small and again do not correlate with the number of modifications made to distribution options. If there were a correlation, one would expect faculty concerns to increase as the number of ETD distribution modifications increase and likewise for student concerns. The data do not support this theory. As shown in Table 10, faculty and students' concerns regarding publisher rejections have not had a significant impact on the number of times ETD universities have changed their ETD distribution option lists. This may be because so few publisher rejections have been reported to ETD university personnel by graduate student alumni, as shown in this dissertation.

Table 10

Do Faculty Concerns Regarding Students Receiving Publisher Rejections Correlate with ETD University Modifications to Distribution Options?

No. of Modifications to Distribution Options	% of Total	Total Responses	Average % Faculty Concerned about Publisher Rejections	Average % Student Concerns about Publisher Rejections
No changes	38%	41	22%	7%
1 modification	33%	36	15%	7%
2 modifications	16%	17	8%	8%
3 modifications	7%	8	14%	5%
4 modifications	1%	1	0%	0%
5 modifications	2%	2	0%	NA*
Many	1%	1	0%	NA*

N=109

*no average available—only one score each was reported in each of these areas.

Types of Repositories

Other potential problem areas that could increase publisher rejections are the types of ETD repositories (institutional or ProQuest/UMI repository) utilized by institutions and the type of access allowed to the theses and dissertations in these repositories (full-text or partial-text ETDs).

Full-text ETD repositories are perhaps at greater risk for students to receive publisher rejections for articles submitted for publication because these ETDs are freely available to the world. In addition, dissertation documents could perhaps be more at risk, because these individuals may be seeking tenure track positions where publishing is

essential for their livelihoods. Also, doctoral students may be more experienced and immersed in a field of study, which can lead to article publications in discipline-specific journals.

Of the 109 ETD university respondents, 77% filed full-text ETDs into a university repository, while 79% filed partial- or full-text ETDs into the ProQuest/UMI commercial repository. Table 11 provides the types of ETD repositories (institutional or ProQuest/UMI repository) utilized by institutions and the type of access for these repositories (full-text or partial-text ETDs).

Table 11

Types of ETD Repositories Used

Types of Repository	% of Overall Responses	Total Response for this Type
Full-text repositories used by universities	77%*	84*
Consortium (includes statewide [OhioLINK, Texas Repository], regional, etc., repositories)	22%	25
ETD-db (Virginia Tech/NDLTD System open source)	6%	6
Open Source (e.g., DSpace, Fedora, Eprints)	13%	14
University Created	28%	30
Purchased (e.g., OCLC CONTENTdm, Ex Libris DigiTool, Innovative Interface Symposia, BEPress Digital Commons, VTLS VITAL)	17%	18
Partial- and full-text repository service paid for by universities and operated by ProQuest/UMI	79%**	85**
Traditional publishing	73%	79
Traditional publishing or open access available	53%	58
Only open access available through ProQuest/UMI	6%	7

N=109, the majority of universities used multiple ways to distribute theses and dissertations online. For example, of the 109 responding to the survey, 55% (60/109) file ETDs in both an institutional repository and in the ProQuest/UMI repository simultaneously.

*some universities deposit ETDs into multiple full-text university repositories as well as the ProQuest/UMI commercial repository.

**some universities offered only traditional publishing, some offered only open access, and some offered both traditional or open access ETDs in the ProQuest/UMI repository.

The most common type of documents deposited into these repositories were: dissertations (93%), followed by theses (89%), then faculty publications (30%) and then followed by honor theses (21%) as shown in Table 12.

Table 12

Document Types Deposited Online by ETD Universities in the U.S.

Type of Documents*	% of Total Responses	Total Responses
Dissertations	93%	101
Theses	89%	97
Faculty Publications	30%	33
Honor Thesis	21%	23
Other	17%	19

N=109

*most universities deposited multiple document types into one or more ETD repositories.

Number of Years ETDs were Filed by University

Since the years of experience programs have filed ETDs could impact the number of publisher rejections reported to ETD university personnel, the number of years ETD programs were in operation was requested from the respondents. This was to determine if those with more ETD filing experience were able to reduce the number of publisher rejections received by students.

The most common number of years for ETD program operation within the U.S. was ~2 years (17 reported), followed by ~4 years (13 reported), ~3 years (13 reported), and 5 years (12 reported) (for an additional breakdown of the number of years the ETD

programs were in operation see Appendix L). The majority of ETD programs (60%) began within the last 4 years.

Of the 109 universities that responded to the survey, the average length of the program existence was 4.41 years, the average number of documents filed online this past year was 255 for all programs within the last 12 months, and the average number of print documents was 67 (as shown in Table 13).

Table 13

Characteristics of ETD Programs in this Study

ETD Program Details	Minimum	Maximum	Average
ETD program length in years	.3	14	4.41
ETDs filed this past year	3	1,500	255
Print only copies filed this past year	0	1,058	67

N=109

Mandatory ETD Filing versus Non-mandatory ETD Filing

Since students who are required to file ETDs could receive more publisher rejections, question 7 asks: “Are ETDs mandatory for all graduate programs?” The majority (or 62%) of the universities require theses and dissertations to be filed electronically (also called mandatory ETDs). Another 17% require some of their theses and dissertations to be filed electronically (also called partial-mandatory ETDs) and 19% allow the students to choose to file electronically or in print format as shown in Table 12. Of those who have partial-mandatory ETD programs, some require mandatory ETDs for dissertations only, while others require mandatory ETDs for theses only. Some also

required mandatory electronic submission for certain colleges or departments as shown in Table 14.

Table 14

Are ETDs Mandatory for all Graduate Programs?

ETDs are?	% of Total	Total Responses
Mandatory	62%	67
Partial-mandatory	17%	19
Non-mandatory*	19%	21
Do not know	2%	2

N=109

*student select print or electronic

Departments with Reported Publisher Rejections or Reported Concerns
of Publisher Rejections

One goal of this study was to determine which departments have received publisher rejections and if these same departments' faculty and students have concerns regarding potential publisher rejections. For this reason, the following question was posed of the research data: *“Are some ETD departments/colleges experiencing a different number of publisher rejections or concerns regarding publisher rejections than others?”*

In the survey, ETD university personnel were asked to list the departments/colleges that have experienced publisher rejections and departments whose faculty and/or students have expressed a fear of publisher rejections. Also, ETD university personnel were asked to list departments/colleges that are receiving

exemptions from the standard ETD distribution option lists – either to assist students in avoiding publisher rejections or because of the concern that publisher rejections may occur. No time frame was established for reporting these departments/colleges, so this list is representative of departmental concerns for the life of the ETD program or for the time frame that the ETD university employee worked with the ETD program. The departments/colleges are provided in Table 13. These departments/colleges were reported through survey questions 7, 8, 18, 19 and 20-23, 25 and 26, as shown in Appendix B.

The results show that the departments that are most concerned with publisher rejections are (from greatest to least concerns): creative writing, chemistry, English, science programs, engineering, and MFA; in addition, almost all other departments were identified at least once for publisher rejection concerns (as reported in questions 18, 19, 20-23).

The publishers that were cited as having the most concerns with ETDs (from most concerned to least concerned) were: American Chemical Society, and Wiley and Springer (as reported question 25). An interesting outcome is that at least three universities reported that their biggest challenge has been finding publishers that will allow students to post their published articles inside their ETDs, as discussed in the Chapter 5.

Publication Delays

To further assess how ETD universities are assisting students in avoiding publisher rejections, or assisting students and/or faculty in dealing with the fears of publisher rejections, questions 14-19 ask specific questions regarding ETD publication delays.

Question 15 asks “In the last 12 months, what percentage of ETD students requested a publication delay?” to assess if ETDs are going directly to the Web or if they are delayed to allow graduate student alumni time to publish. The percentage of publication delays that were granted are shown in Table 14. Note that only 15% (or 16 universities) of programs are releasing students ETDs directly into open access after the students graduate. Fifty of the universities (or 46%) are blocking up to 10% of their ETDs from the Web, 18% (or 20 universities) are blocking up to 30% of their ETDs from the Web, 9% are blocking up to 50% of their ETDs from the Web, and 3% are blocking up to 98% of their ETDs from the Web.

Table 15

Percentage of Students Receiving Publication Delays

Percentage of students receiving publication delays*	% Response	Response Count
No publication delays received	15%	16
>0 to 10% publication delays	46%	50
11 to 30% publication delays	18%	20
31 to 50% publication delays	9%	10
Do not know	9%	10
Three universities reported publication delays of 60%, 65% and 98%	3%	3

*The full detailed SPSS report is provided in Appendix M.

Decision Makers of ETD Distribution Options

To assess who decides when and how ETDs are distributed on the Web, question 10 asked: “Who controls/establishes your distribution methods?” The graduate studies

offices were the most common decision maker regarding how theses and dissertations were distributed electronically to the Web at 87% of the time, followed by libraries (51%), students (19%), deans (10%), and repository consortia (9%) as shown in Table 15.

In the “Other” category the following groups were also considered decision makers of distribution options for ETDs: ProQuest/UMI, graduate faculty, departments, university archives, associate vice president for academic studies, ETD task force, and graduate council as shown in Table 16.

Table 16

Decision Makers who Determine Distribution Options Offered to Students

Decision Makers	% of Total Responses	Total Responses
Graduate College	87%	95
Library	51%	56
Students	21%	23
Other*	12%	12
Dean	9%	10
Consortia (state or local)	8%	9

N=109

*Associate VP for Academic Studies, Faculty, Graduate Council, VP Research, ProQuest/UMI, University Administration

Distribution Options

Of the distribution options established by the decision making groups, Table 16 shows the percentage of the time each distribution option was offered by ETD universities. By far, open access was the most popular distribution option at 95% of the

time and was followed by open access with a publication delay at 78% of the time. The withheld option was the third most popular option with 45% of the institutions allowing theses or dissertations to be blocked from the Web for a period of time before the documents were released into open access. Other popular methods were print copies (31%) and university-access only with a publication delay (25%) as shown in Table 17.

Table 17

Distribution Options Available to Graduate Students Filing ETDs

Distribution Option*	% Total Responses	Total Responses
Open Access (document is freely available on the Web)	95%	103
Open Access with Publication Delay (document access is blocked for a period of time before released into open access or document is available for university-only access until the publication delay period ends and then goes to open access)	78%	85
Withheld (no access for a period of time and then document goes to open access)	45%	49
University-only Access (document access is available to patrons of university library via login anywhere in the world)	32%	35
Paper (document is placed on library shelf and is only available from a shelf or Interlibrary Loan)	31%	34
University-only Access with Publication Delay (document access is blocked for a period of time and then moves to university-only access via login)	25%	27
Other (please explain) Accessible by IP address, access via CD in library	2%	2

N=109, most universities offer multiple distribution options

*If you have departments/colleges with different distribution options available, please specify department/college: creative writers, engineering, MFA and whatever ProQuest/UMI allows

Open Access Requirement after Publication Delay Ends

Some ETD university policies require all documents to be placed into open access immediately after the publication delay period ends (i.e. no university-only access documents or print documents are allowed). For this reason, question 9 asked if the university requires all ETDs to be placed into open access after the publication delay

period ends. In this study, 51% of the ETD university personnel state their policies require all documents be placed in open access once publication delay periods end. This means that the options of university-only access and blocking ETDs indefinitely were not available to students at these institutions. According to the university policy, all documents are placed in open access format after the publication delay period ended.

Modifications to Distribution Options after the Release of ETDs

An additional factor that assists in determining if ETD university distribution options allowed students adequate time to publish from their ETDs was if universities had to make exceptions to their distribution option policies after documents were released to the Web. Question 18 asked: “Have you or your university ever allowed a change in a distribution option, because the student discovered the open access document was interfering with his or her ability to publish an article/book from the online thesis or dissertation?”

Thirty-five programs (31%) state they have made changes to their distribution options because the students relayed that their ETD was interfering with the students’ ability to publish as shown in Table 17. Fifty percent (50%) of the respondents report that they have never made changes to their distribution options after documents were released online. In addition, if the respondents changed their distribution options, they were asked to explain why the distribution options were modified. This information is provided in the bottom of Table 18.

Table 18

Have Changes Been Made to Distribution Options after the Students' ETDs were Released Online, Because the Students Discovered the Open Access ETDs were Interfering with their Ability to Publish?

Changes to ETD distribution options after released online?	% Response	Response Count
No	50%	54
Yes	31%	34
Don't know	17%	19
Maybe	2%	2

Reasons for distribution modification change(s) included (each concern is only listed once):

1. national security request
2. foreign government request
3. student asked for the change--reasons range from not understanding the meanings of the distribution options to concerns about their ability to publish
4. student thought a publisher rejection was occurring, but no proof was provided
5. request of confidentiality from faculty member while the student published—student was not concerned
6. student may modify their choice after they submitted the document for any reason
7. student's advisor counseled the student that open access might compromise the work of several others in the lab
8. student did not understand options
9. we allow changes because this is a relatively new concept to our users
10. proprietary, to allow for publication, and student did not comprehend the full scope their ETD would reach on the Web
11. student intended to publish a book, but mistakenly asked for open access
12. copyright holders must be allowed to control their own work, so we allow any change
13. change made because the student did not read the form
14. publisher requested that the document be blocked
15. students control the access to their documents
16. concerns from publisher
17. book publisher considers an open access ETD as prior publication
18. students call ProQuest/UMI to change distribution options as needed
19. student's public affairs office had not officially signed off on the thesis
20. campus restricted ETD showed up on Google, we don't know how this occurred

N=109

To determine if ETD universities have established appropriate distribution options to protect their students' ability to publish, question 17 asked: "Of the distribution options available to your students, do you feel these allow adequate time for graduates to publish derived or exact text from ETDs?" As shown in Table 19, 73% of ETD professionals believe their distribution options are adequate, 22% do not know, 4% state that maybe the options are adequate, and only 2% state that their distribution options are not adequate.

Table 19

Of the Distribution Options Available to Students, Do You Feel These Allow Adequate Time for Graduates to Publish Derived or Exact Text from ETDs?

Adequate time to publish?	% Response	Response Count
Yes	73%	79
Don't know	22%	24
Maybe*	4%	4
No*	3%	2

*Of those who selected "Maybe" or "No," the comments included: "I don't know if our standard 6 month embargo would be long enough," "I think print academic monographic publishing is dead and it might take a long time to find a publisher willing to do so" (i.e. longer publication delay time period may be needed), and "We need an embargo [publication delay time period] policy."

Student and Faculty Concerns with ETDs Being Considered

Previously Published Documents

Student and faculty concerns may indicate that publisher rejections are occurring or that students and faculty are aware that publishers' policies in their discipline state publisher rejections will occur for submitted articles that have been derived or taken directly from ETDs. To address this issue, Questions 22 and 23 asked respectively: "Note

the percentage of students that are concerned about their ETDs being considered previously published works” and “Note the percentage of faculty that are concerned about their students’ ETDs being considered previously published works.”

The respondents reported an average of 4% of students overall were concerned with publisher rejections and 5% of faculty overall were concerned with publisher rejections. (Since one university reported a large percentage of 75% faculty concerns, this score was removed from the data set to calculate a second overall average for faculty concerns. With this one score removed, the overall average for faculty and student concerns are equal at 4%.) With this said, it appears that faculty and student concerns are fairly equal regarding students’ ETDs being considered previously published works by publishers.

In addition to the low overall averages of faculty and student concerns for the 109 universities, 44% percent of the ETD universities state there are no student concerns at all regarding their ETDs being considered previously published works by publishers. Thirty-five percent (35%) of the ETD universities reported 10% or less of their students are concerned. Twelve percent (12%) of the ETD universities reported greater than 10% of their students were concerned that their ETDs being considered previously published works by publishers.

For faculty, an even greater number of ETD universities (55%) noted that there are no faculty at all who are concerned about their students’ ETDs being considered previously published works by publishers. Twenty percent of ETD universities (20%) expressed that 10% or less of their faculty reported concerns that their students’ ETDs

may be considered previously published works by publishers. Seven percent (7%) reported that more than 10% of their faculty were concerned that their students' ETDs could be considered previously published works by publishers as shown in Table 20.

Table 20

Percentage of Students and Faculty Concerned that ETDs Could be Considered Previously Published Works

Publisher Rejection Concerns		
Students' Reporting Concerns	% Response	Response Count
No student concerns	44%	48
<=10% student concerns	34%	37
>10% student concerns	12%	13
Don't know	10%	11
Faculty's Reported Concerns		
Faculty's Reported Concerns	% Response	Response Count
No faculty concerns	55%	60
<=10% or less of faculty concerns	20%	21
>10% faculty concerns	7%	8
Don't know	18%	20

N=109

Publication Delays

Publication delays are considered a good way to allow graduate student alumni adequate time to publish, file patents or do other things with their theses or dissertations before they become available online. For this reason, question 12 asks: "What is the primarily reason your university offers publication delays?"

As shown in Table 21, the primary reasons publication delays are selected for ETDs 80% of the time are “to protect the students’ ability to publish (articles, books, short stories, etc.) from their ETDs,” followed by patent protection (75%), a faculty member recommends it (25%), and other reasons (17%) (e.g. national security, sensitive information, ongoing research, proprietary, copyright, ignorance of the citation impact factor for electronic documents, contract agreement, the student requested that the document be removed, do not offer publication delays).

Table 21

What are the Primary Reasons for Publication Delays?

Primarily reasons for publication delays?	% Response	Response Count
Publishing*	80%	87
Filing patents	75%	82
Faculty recommendations	25%	27
Other**	17%	21

N=109

*articles, books, short stories, etc.

**Comment for other include: any reason student reports, copyright, fear of work being taken by another, grant stipulations, national security, faculty concerns regarding ongoing research in the same area, privacy, proprietary information, ProQuest/UMI provides reasons, sensitive information, and for any reason stated by the student.

Publication Delay Time Periods

To determine if ETD universities have established publication delay time periods that are long enough to allow students time to publish before their theses and dissertations are released online, question 11 asks: “What publication delay time periods are available

to your students?” In this study, publication delay time periods were found to have a wide range from no publication delays allowed to indefinite publication delay time periods.

The most popular time period was a one-year delay (75%), followed by a two-year delay (61%) and a six-month delay (50%). Overall publication delay periods for all universities extended from no publication delays allowed (8%) to indefinite publication delays offered (16%). In addition, several universities had indefinite publication delays for only specific programs (creative writing or Master of Fine Arts) or on a case-by-case basis (e.g., patents, proprietary works, if ProQuest/UMI would allow it) as shown at the bottom of Table 22.

Table 22

Publication Delay Time Periods Offered by Universities within the U.S.

	No Pub Delays	6 mon	1 yr	2 yrs	3 yrs	4 yrs	5 yrs	6 yrs	Inde- finitely	Other*
%	8%	50%	75%	61%	17%	10%	13%	3%	16%	20%

*Other includes:

1. 10-year publication delays are available
2. determined on a case-by-case basis
3. Master of Fine Arts can extend for years
4. indefinite campus-only restriction is allowed
5. could be granted permanently
6. no definite time frame for patents or proprietary works
7. indefinite for creative writing
8. campus-access only is available for up to five years
9. whatever ProQuest/UMI allows

N=109, most universities offered several publication delay time periods.

Changes in Publication Delay Request

If publishers are threatening to reject or are rejecting some articles submitted for publication (because the articles were derived or taken directly from ETDs), one would expect faculty and students to discover this and, as a result, publication delay requests would be expected to increase. Likewise, if publisher rejections were not occurring, one would expect publication delays to decrease. For this reason, question 15 asks: “Over the life of your ETD program, have your requests for publication delays increased, decreased or remained about the same?”

In Table 23, note that publication delay requests have remained about the same for 36% of the ETD universities, followed by 26% reporting an increase in publication delays, and 7% reporting a decrease in publication delays. Twenty-two percent (22%) reported they “don’t know” if publication delays have increased, decreased, or remained the same.

Table 23

Over the Life of your ETD Program, Have Your Requests for Publication Delays Increased, Decreased or Remained About the Same?

Number of Publication Delays Have?	% Response	Response Count
Remained the Same	36%	39
Increased	26%	28
Don’t know	22%	24
Decreased	7%	8

N=109

Are Publication Delays Encouraged? If so, Why?

If ETD professionals receive reports of publisher rejections or if faculty suggests that the students in their departments may receive publisher rejections, then we could expect a larger number of ETD professionals encouraging publication delays. For this reason, question 19 asks: “Do you encourage publication delays for: Theses? Dissertations? It depends on department? Don’t encourage publication delays?”

Table 24 shows that 73% of the time, ETD professionals do not encourage publication delays. While 13% of the ETD universities do encourage publication delays, they encourage these for specific departments or for specific reasons (see departments and reasons at the end of Table 23*). Only 7% (8/109) of the respondents state they encourage publication delays for theses, and only 7% (8/109) note they encourage publication delays for dissertations. Of the 109 respondents, 93% (101/109) report that they file dissertations online and 89% (97/109) report that they file theses online. This means overall for all universities that 8% (8/101) of all dissertations and 8% (8/97) of all theses are encouraged to file a publication delay.

Table 24

If you Encourage Publication Delays for Theses, Dissertations or if it Depends on the Department or College, Please Indicate which Departments/Colleges?

Encourage Publication Delays?	% Response	Response Count
Don't encourage publication delays	73%	79
It depends on the department/college*	13%	14
Theses	7%	8
Dissertations	7%	8

N=109

*List of student departments who are encouraged to request publication delays (in order of most commonly encouraged student departments):

1. Chemistry
2. Biotechnology
3. English
4. Science programs
5. Creative writing publishing
6. Science patents
7. Engineering
8. Humanities publishing
9. Mathematics
10. History

*List of reasons students are encouraged to request publication delays (in order of the most common reasons publication delays are encouraged):

1. Student and faculty choose
2. Student's choice
3. Funding agency request it
4. Advise students to check with publishers/peers
5. American Chemical Society publishing

This chapter presents the data findings in this study. In addition, other supporting evidence is provided to explain the results of the findings in this study. The next chapter

presents a discussion of the findings, a summary of the study, and future recommendations.

CHAPTER 5: DISCUSSION, SUMMARY AND RECOMMENDATIONS

Since universities began filing ETDs in 1997, the argument has been that publishers may consider ETDs previously published works due to their much larger distribution on the Web. The purpose of this study was to determine if large circulation journal and book publishers were rejecting articles submitted for publication because the submitted articles or books were derived from Electronic Theses and Dissertations (ETDs). In addition, several other questions were asked of ETD university personnel to explore if ETD program practices were assisting ETD graduate student alumni in avoiding publisher rejections. This chapter includes discussion of findings, summary and recommendations for further research.

The findings of this study show that a small number of publisher rejections have been reported by graduate student alumni to ETD university personnel. Yet, after looking at the practices of ETD university programs, universities were found to have many ways that they assisted students in avoiding publisher rejections before they had an opportunity to occur. Due to the great value that higher education places on the publishing of research, it is not surprising that higher education institutions are focused on assisting students who file ETDs in avoiding publisher rejections.

Discussion of Findings

Publisher Rejection Findings

The findings in this study show a small percentage (1.8%, 2/109) of publisher rejections have been reported by graduate student alumni to ETD university personnel (i.e., 1.1 years, 2 years). These were the only two ETD universities who reported

publisher rejections out of 109 ETD universities whose responses were used for data analysis in this study. These percentages represent less than 2% of those responding to the survey.

Of the two ETD universities that reported publisher rejections, the first reported two publisher rejections for the program of theology and the second university reported one publisher rejection for an unreported department and repository. Table 25 provides the additional details on the ETD program practices at the institutions that reported publisher rejections.

Table 25

Publisher Rejection Data Reported by Graduate Student Alumni to ETD University Personnel

No. of Years in Operation	ETDs Mandatory?	Distribution Options Available	Publication Delay Option?	Changed Distribution Option due to this Publisher Rejection?
2.0	No	<ul style="list-style-type: none"> • Open access • Print 	No publication delays allowed	Yes
1.1	No	<ul style="list-style-type: none"> • Open access • Open access with publication delay • Withheld, then open access 	<ul style="list-style-type: none"> • 6 months • 1 yr • 2 yrs • indefinitely 	Yes, for two theology students writing books

For the first university that reported two graduate student alumni received publisher rejections from book publishers, these ETDs were full-text ETDs in the ProQuest/UMI commercial repository. (Full-text ETDs in the ProQuest/UMI repository are as freely available as full-text ETDs in university repositories. Once the student or university pays

for an ETD to be open access in the ProQuest/UMI repository, ProQuest/UMI does not charge any patron a fee to access this same thesis and dissertation for the life of the document.)

Since ProQuest/UMI's centralized commercial repository was reported as the most popular way to file ETDs by 79% of the respondents and since ProQuest/UMI is the most popular centralized repository for ETDs, one could expect students to possibly receive more publisher rejections for ETDs in this repository because of the heavy use of this centralized online database. However, we must bear in mind that the vast majority of ETDs in ProQuest are available for sale (print-on-demand/royalty basis) or by library subscription. Although most libraries subscribe to the basic "Dissertation Abstracts International" database, not all libraries subscribe to full-text access in PQDT, which by nature, limits the open distribution of these works online (J. Hagen, personal communication, April 16, 2010).

Of the 109 ETD universities responding to the survey, 55% (60/109) file ETDs in both an institutional repository and in the ProQuest/UMI repository simultaneously. This provides greater access to these ETDs. In most cases, this means that the ETD is available in open access through the institutional repository and is also available through Traditional Publishing (the first 24 pages are available for free) through ProQuest/UMI. Because these ETDs reside in two online repositories, these ETDs could be viewed by some publishers as potentially more accessible works than if the ETDs were online available in one online repository.

Since the open access repositories created by universities have been in operation an average of 4 years, the exposure to these university repositories would be less common than the ProQuest/UMI commercial repository, which has been in operation for 71 years (since 1939). In addition, ProQuest/UMI provides a standard two-year publication delay, while some ETD universities allow for much longer time periods for publication delays of their ETDs; some even allow indefinite publication delays. This shows that it may be more likely that graduate student alumni would receive publisher rejections for submitted articles that are derived or taken from ProQuest/UMI ETDs before they would from university repository ETDs. It is interesting to note that of the two universities that received student reports of publisher rejections, the first university's policy allows indefinite publication delays, but no print theses or dissertations, while the second university's policy does not allow publication delays, but does allow print documents. Also, in both cases, the universities changed the ETD distribution option, so the students could publish from their ETDs.

While it is possible that other publisher rejections occurred but were not reported by other ETD universities, this study has no way of obtaining information regarding other publisher rejections. However, it is interesting to note that in response to question 18 ("Have you or your university ever allowed a change in distribution option, because the student discovered the open access document was interfering with his or her ability to publish?"), five universities reported publisher rejections and eight stated that students reported that their ETDs were interfering with their ability to publish (as shown in Appendix O, question 18). Yet, these same cases were only reported as publisher

rejections by two universities in question 20 and 21 (respectively, these questions were: “In the past 12 months, how many graduates have reported publisher rejections for submitted articles due to the articles being derived or taken directly from ETDs?” and “Since your university began filing ETDs, how many graduates have reported publisher rejections for submitted articles due to the articles being derived or taken directly from ETDs?”). It is possible that these universities did not view their response to question 18 as publisher rejections, because these universities were able to get the publishers to accept the previously rejected articles for publication because the ETDs were removed from online availability.

Advantages of ETDs

There are many advantages of ETDs for all stakeholders. Perhaps this research project will allow the ETD university community to focus more on the positives of ETDs and less on the fear that students may receive publisher rejections for articles derived from ETDs. ETDs result in reduced handling of physical copies of thesis and dissertation, reduced printing and paper costs, greater distribution efficiencies, increased worldwide access to research, increased citation rates by as much as 250% (Harnad, 2009), and greater notoriety and recognition of research conducted by universities, faculty and students.

Practices that Influence Publisher Rejection Avoidance

After looking at the practices of ETD university programs, universities were found to have many ways of assisting students in avoiding publisher rejections before publisher rejections had the opportunity to occur. Due to the considerable value higher

education places on published research, it is not surprising that higher education institutions are assisting students in many ways to avoid publisher rejections. In fact, print theses and dissertations are more available for use than some ETDs. With ETDs, many universities allow students to select from several different distribution options. Some of these options provide a greater level of protection for the document than print documents provided. To mention a few available options, university-access only (similar to print theses and dissertations, only are provided electronically via login or inter-library loan request), university-access with a publication delay (can mean no access during publication delay period), access by IP address to limit access within the state or region of the university, open access with publication delays (no access until publication delay period has expired), and, in some cases, indefinite publication delay time periods are also available to block the use of theses or dissertations indefinitely. These additional distribution options and publication delays grant ETD students greater protection of their theses and dissertations than were previously available for print theses and dissertations. This could play a prominent role in the low number of publisher rejections that were reported in this dissertation.

Publisher Opinions as Compared to Publisher Behaviors

Reported by ETD University Personnel in this Dissertation

Several publisher opinion surveys were examined in this dissertation to explore the current trends that may impact publishers' acceptance of articles submitted for publication that have been derived or taken directly from ETDs. The Networked Digital Library of Theses and Dissertations (NDLTD) conducted four surveys (see Table 3)

where 9% of publishers surveyed responded that they would not consider articles derived from ETDs unless the content was substantially different, or if access was only available on campus (7%), or under no circumstances would they accept an article from an ETD (3%).

In addition, 77% (92/148) of publishers stated that they did not yet have policies regarding online documents. When asked why they did not have policies for online documents, 24% (26/107) stated “an open access ETD constitutes prior publication” (NDLTD, Publisher Surveys, 1999-present). With this many publishers expressing ETDs would be considered previously published works, one would expect that graduate student alumni would be receiving publishers rejections for articles submitted for publication that were derived or taken directly from ETDs; however, as discussed in the next section, in this dissertation these percentages do not hold true.

The highest number of reported publisher rejections in this study was 1.8% (or two universities out of 109 universities responding to this study). This discrepancy between the number of publishers that stated they would reject articles derived or taken directly from ETDs 24% (26/107) and the actual number of students reporting publisher rejections to ETD university personnel (1.8%, 2/109) does not equate. In this study, the data collected and other supporting research provides several reasons why publisher rejections may be lower than expected.

Possible Reasons Publisher Rejections are Not Being Reported by Students for Articles Submitted for Publication that have been Derived or Taken Directly from ETDs

There could be several reasons that graduate student alumni are experiencing a lower than expected number of publisher rejections for articles submitted for publication. A few reasons to consider include: 1) As online documents have become more popular, publishers may be accepting online documents as a normal part of doing business in today's Information Age. 2) It is possible that a lower than expected number of graduate student alumni are reporting to ETD university personnel that publisher rejections have occurred, because ETD universities are stating that the distribution option for ETDs must be decided before students graduate. 3) Publishers could be accepting articles submitted for publication regardless of where the articles are derived from because refusing some submitted articles could cut into their existing revenue streams. 4) As noted in this dissertation, publishers may be considering ETDs as pre-prints, as discussed in the following section.

Are ETDs Considered Pre-prints?

In this dissertation, the Scholarly Publishing Practice survey results were discussed where Cox and Cox state "the growth in institutional and subject-based repositories" has influenced publishers' thinking regarding "authors' rights to post their articles on the Web" (Cox and Cox, 2008, p. 1). Cox and Cox state that many publishers are now allowing Web posting of pre-prints (articles that have not been peer-reviewed for publication). The idea that publishers may view ETDs as pre-prints was suggested by several authors cited in this dissertation (Crow, 2002; Moxley and Weisser, 2004; Hagen,

2009; Harnad, 2009). Since the findings in this study found a small number of publisher rejections (reported by graduate student alumni to ETD university personnel), it is likely some publishers are viewing ETDs as pre-prints and not as published works.

Self-archiving of Published Articles (Post-prints)

Post-prints are final copies of the peer-reviewed articles that are published (e-Prints, 2009). In this dissertation, the Publisher Research Consortium (PRC) survey was discussed where authors were found to overestimate what they could do with their published works with regards to self-archiving published versions (also called post-prints) on the Web (Morris, 2009). Self-archiving is the posting of any digital document to a public Web site (e-Prints, 2009). The results in this dissertation support Morris's (2009) findings that publishers will generally not allow students to post published articles in their ETDs. In this dissertation, two ETD university personnel further confirm this by stating the problem is not that journal publishers are considering ETDs published works, but instead that journal publishers are refusing to allow students to place previously published articles inside their ETDs. Hence, as Morris discovered, many publishers are not allowing students to self-archive the published version of articles by placing these in their ETDs.

One respondent in this dissertation states: "students who have published their work before submitting their final thesis/dissertation have concerns because many times they have signed over the copyright to the publishing company and feel they cannot release their work through the universities electronic system." A second respondent in this dissertation states: "American Chemical Society (ACS) seems to have restrictive

policies on this issue, and a few faculty are trying to convince ACS to change their policies.” In this dissertation, it was reported that both ACS and Wiley publishing policies refuse to allow students to include articles that were published with their journals in ETDs – especially when these same theses and dissertations would be posted in full-text, open access distribution on the Web. Further study is needed in this area to see if other publishers hold the same view as ACS and Wiley. If the majority of publishers do not allow authors to place previously published articles inside of ETDs, then perhaps only pre-prints or a revised version of published articles should be included in ETDs, or perhaps the ETD community as a whole needs to find an appropriate solution that the stakeholders (i.e. publishers, students, universities) are willing to abide by.

This study found that although students may have little trouble publishing derived articles from their ETDs, students may be overestimating what they can do with the published versions of articles when they want to place the published articles into their ETDs. This issue can especially become a issue when students sign their copyrights over to the publishers.

As discussed in this dissertation, authors have been encouraged for some time by Harnad (2009) and SPARC (2006) to retain critical rights before they sign a publisher agreement; first, by reading publisher agreements carefully; and second, by adding an addendum to the publishing agreement that states the copyright is not being transferred and a ‘license to publish’ is being granted. Additional ETD open access issues are discussed in the next section.

Findings for Open Access ETDs

In this study, 95% of the respondents reported that they file full-text, open access theses and dissertations through a university repository or through the commercial ProQuest/UMI repository. Full-text, open access theses and dissertations (also called full-text ETDs in this dissertation) are more available to the public than print or partial-text ETDs offered by ProQuest/UMI; therefore, the potential for these documents to be considered previously published works by journals could be higher. However, in this study, full-text ETDs were not found to be any more at-risk than print theses and dissertations on library shelves. In fact question 24 asked: “Before ETDs (when theses and dissertations were in print only), did your university have any difficulties with journals or book publishers considering theses and dissertations previously published works?” In response, two universities reported a low level of concern for print theses and dissertations being considered previously published works before ETDs came into existence in 1997. The first university stated that they had a low level of concern for creative writing documents and the second university stated that they would hold print theses or dissertations to allow students to publish in journals or books. Since only two universities reported three publisher rejections in this study, this finding supports that the level of concern for publishers considering ETDs previously published works may be similar to the same level of concern for print theses and dissertations. However, other findings in this study support that ETD program practices may have a tremendous impact on reducing the number of potential publisher rejections and concerns regarding this topic as discussed in the next section.

Findings on the Benefits of Publication Delays

Since publication delays are designed to block access to the theses or dissertations while students publish, file patents, or do other things with their theses and dissertations, several questions were asked in this study regarding publication delays. The range of publication delays were from no publication delays allowed to as many as 98% of all ETDs receiving publication delays. This means that at least one university blocks up to 98% of their ETDs from the Web for a period of time. This large number of publication delays could have a huge impact on assisting students in avoiding publisher rejections, because these publication delays allow theses and dissertations to be blocked from online use until derived articles and books are submitted for publication and published.

ETD Distribution Options

ETD graduate student alumni may be receiving a lower than expected number of publisher rejections because most ETD university personnel reported several distribution options designed to protect students' ability to publish from ETDs. These distribution options may explain why ETDs are experiencing so few publisher rejections.

ETD distribution options offered by the respondents in this study included: open access (95%), open access with a publication delay (78%), withheld (45%), university-access only (32%), print (31%) and university-access only with a publication delay (25%). Note that five out of six of the most popular distribution options afford students' ETDs protection from open access. These types of distribution options are designed to allow students time to publish articles and/or books before the ETDs are released online. If these distribution options are working as they are designed, they should be having an

impact on the number of publisher rejections students are reporting to ETD university personnel at this time.

To explore if these distribution options were appropriate in protecting students' ability to publish from their ETDs, survey question 14 asked: "Over the life of your ETD program, how many times has your institution modified or added distribution options?" Sixty-two (62%) of ETD universities have modified their distribution option lists one or more times in an effort to meet student, faculty, publisher, and university needs. This shows a strong interest by ETD universities in establishing appropriate distribution options to protect their students' ability to publish from ETDs.

In addition, many ETD universities have been willing to modify the distribution option choice selected by students when the distribution option selected interferes with the students' ability to publish derived articles or books from ETDs. Question 18 asked: "Have you or your university ever allowed a change in a distribution option, because the student discovered the open access document was interfering with his or her ability to publish from an online thesis or dissertation?" As shown in Table 17, 31% (34/108) of the ETD universities participating in this study have modified their distribution option (selected by the student at the time of graduation) to accommodate the student's ability to publish from his or her ETD. Once again, it appears that universities are performing an exceptional job in assisting students in publishing derived or exact text from their ETDs.

Exceptions to Distribution Option Policies

An additional factor that assists in determining if ETD university distribution options allow students adequate time to publish from their ETDs was if universities had

to make exceptions to their distribution option policies after documents were released to the Web. Question 18 asked: “Have you or your university ever allowed a change in a distribution option, because the student discovered the open access document was interfering with his or her ability to publish an article/book from the online thesis or dissertation?”

Thirty-one (31%) of the ETD universities state that they have made changes to their distribution options because students stated that that their ETD was interfering with their ability to publish as shown in Table 17. In addition, in Appendix O, note under question 18 that five universities reported that they changed their distribution option policies due to “publisher rejections,” yet these same publisher rejections were not reported in question 20 and 21 (when the number of publisher rejections were requested within the last 12 months and since the inception of the ETD program). It appears that ETD universities are resolving some publisher concerns by changing the distribution option for the graduate student alumni. In these cases, it does not appear that universities are considering these “publisher rejections,” because the students and universities were able to work out a way for the publisher rejection to disappear (by removing the document, at least temporarily, from the Web, moving the document to university-access only, or some other arrangement was made to make the thesis or dissertation less accessible).

ETD Copyright Issues

For more than 200 years copyright law has enabled, and scholars and their publishers have depended upon, the mechanism of a state-granted monopoly. [It creates] "artificial scarcity" to give publishers a period of time during which they can charge higher prices than the market would otherwise dictate and recover

their costs of publishing plus a profit in most cases. But today we have instant access to digital creative works, and easy, world-wide distribution at almost no cost for the reader beyond the cost of computers, internet access and electricity. In this world, the monopolistic mechanism of ‘artificial scarcity’ turns from what is one of the most important [and,] most critical advantages of the digital world into something to be fought tooth and nail. The solution isn’t stronger and longer copyrights. It more likely will emerge from massive experimentation to find satisfactory business models that can fund the creation of [scholarly] works, still a costly undertaking, without sacrificing the digital benefit of relatively free distribution to anyone and everyone who might desire to access our works. (Harper, 2009, p. 1)

Harper (2009) explains well the paradigm shift that is currently occurring as print publications move to online documents and there is a need for copyright laws to be re-evaluated for online documents. In the U.S., copyright laws will likely evolve slowly until the masses force the adoption of new laws that recognize electronic distribution methods as a legitimate form for distributing published works for profit or for free when desired by the author.

To achieve a higher level of acceptance of full-text, open-access ETDs, these issues must be addressed in ways that are satisfactory to all parties involved including students, faculty, publishers, and higher education institution personnel. Since many publishers have yet to adopt policies regarding electronic documents, coming up with a clear-cut solution may not occur for some time, and one may never be able to address these issues completely due to the tremendous changes occurring in the publishing industry today (Harper, 2009; Edminster, 2002). Flexibility on the part of ETD institutions, the U.S. Copyright office, and publishers will be essential to address issues as they arise.

Implications of this Study

ETD Technology in its Infancy

Since there are roughly 1,800 higher education institutions granting master and doctoral degrees within the U.S. (IPEDs Data Center, 2009), ETD technology can be considered in its infancy within the U.S. at approximately a 22% adoption rate (403/1800), according to this study. In addition, if only full-text ETD university repositories are included in this calculation (excluding depositors in the centralized ProQuest/UMI commercial repository), this percentage becomes quite small, with only 6% (112/1,800) of U.S. institutions providing ETD institutional repositories with ETD collections. A similar low percentage (12%) of institutional repositories (IR) was found in the Census of Institutional Repositories in the U.S. (Rieh, et al., 2007). Also, the MIRACLE Project found a low number of IRs (8%) for higher education institutions in the U.S. (Markey, et al., 2007). In addition, Markey, et al. (2007) the MIRACLE Project shows IR adoption by type of universities, with Carnegie Research Universities leading the way.

ProQuest/UMI reported a total of 700 active ETD universities customers within the U.S. (A. McLean, personal correspondence, May 3, 2010). Many of these universities were found in this study to also have institutional repositories for ETDs. With this number, ProQuest/UMI shows a 39% service rate of U.S. universities overall (for partial- and full-text ETDs, 700/1,800).

As discussed in this dissertation, four is the average number of years of operation for ETD programs within the United States. Some universities who responded to this

study are still filing more than 900 print theses and dissertations per year in addition to their ETDs. Note in Figure 4 that the total number of years of existence for ETD programs is skewed left and does not yet present a normal bell curve that would be expected of a more mature genre.

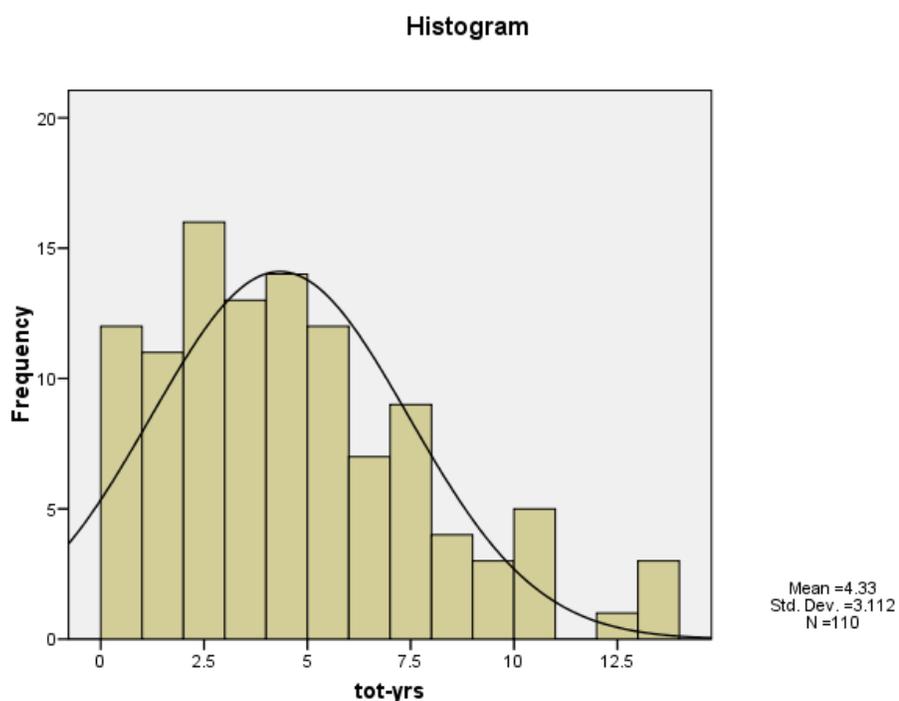


Figure 4: Total years ETD programs within the United States have been in operation as of February 2010.

In this dissertation, it is evident that even though ETDs are a new genre, ETD universities appear to have adopted appropriate practices to assist students in protecting their ability to publish from ETDs, as shown in the small number of publisher rejections (1.8%, 2/109) reported by graduate student alumni to ETD university personnel. Since ETD universities appear to be doing an exemplary job protecting students' ability to publish now, one can only expect that this will continue as additional universities choose to offer

ETD submissions. One can also expect that the current ETD university program practices would be used as models for new and developing programs.

Implications for Practice

Suggestions for ETD University Practices

Technology in its Infancy

Even though it has been 14 years since the first mandatory ETD program in the U.S., as a society we are still learning how to live in an open access world. Since the average number of years in operation for ETD programs within the United States is just four years, standard practices have not been adopted by ETD universities throughout the U.S. This research project shows that universities are doing an exceptional job at sharing university research with the world and in assisting students in publishing from their ETDs through the use of appropriate distribution options and publication delays.

Standard ETD Practices

While standard practices are important in maintaining a highly efficient ETD operation, it is important to remember that ETDs are still a new genre and that one size may not fit all. Sometimes an exception may be needed for patents, copyright restrictions, grant stipulations, national security, faculty concerns regarding ongoing research in the same area, privacy, proprietary information and sensitive information as documented in this study.

Standard practices that appear to be working well for ETD universities across the U.S. include a minimum of a two-year publication delay with exceptions to this standard policy on a case-by-case basis for unusual circumstances.

The distribution options that are offered to students cannot always be controlled by the university, since some universities may be restricted to the distribution options that they can allow by the repository software purchased, the technical expertise of their repository manager, statewide repository standards, ProQuest/UMI policies, or other technical limitations.

Publication delays are one way that universities can provide students more control over when their documents will be placed into open access and allow for adequate time for students to publish from their ETDs. Restricting ETD access to university patrons or a print option may still be a viable option for creative writing students who are attempting to publish exact text and for other unusual circumstances.

Mandatory ETDs increase cost savings for universities and students by decreasing the handling of print copies and paper, shelf space, and retrieval costs. Mandatory ETDs also supports the trend towards open access library documents that are more readily available to researcher regardless of location.

Benefits of this Research to Stakeholders

This research project provides some excellent baseline data regarding policies and practices of ETD programs within the U.S. This information will be of interest to corporate and non-profit scholarly communications distributors such as ProQuest/UMI and NDLTD, as well as ETD university personnel who advise students who file ETDs, library staff who catalog ETDs, and to those responsible for the oversight and implementation of ETD university programs nationally and internationally. This study can assist new and existing ETD programs in understanding publisher concerns for

articles derived from ETDs and to recognize that regardless of what publishers have reported in several publisher opinion and policy studies, few publishers appear to be rejecting articles because they are derived from ETDs. This study also assists with identifying some departments and colleges that are experiencing more publisher resistance than others (i.e. creative writing, chemistry, history).

For faculty and students who may be concerned about the potential of publisher rejections, this study shows that most ETD programs were found to have adequate distribution options and publication delay time periods to protect graduate student alumni's ability to publish articles and books from their ETDs.

Though this research project this researcher became acutely aware of the lack of a centralized location for ETD-related information for universities implementing or running an ETD program within the U.S. To benefit all stakeholders of ETD research, the U.S. ETD Association (USETDA) was created to provide practical information regarding institutional ETDs programs and educational tools for students, faculty, publishers and higher education administration. The USETDA was established in October 2009 by Ohio University, in coordination with Texas A&M University, the University of Akron, and West Virginia University. The primary goal of the USETDA is to provide a central clearinghouse of ETD-related information on the Web. ETD-related educational tools are currently being developed for ETD students, ETD professionals, faculty and administration. Additional educational information is currently appearing regularly on the new Web site at www.usetda.org. The educational information on the USETDA Web site can be shared via a Web link to any ETD program Web site worldwide. Faculty and

administration staff may also direct students to this Web site for find open access ETD repositories worldwide. Additional information regarding ETDs and associated topics are currently being designed for the Web site, including copyright, intellectual property rights, open access policies of online journals, and more.

As noted in this dissertation, some universities are advising students to look at the publisher policies where they intend to publish before selecting publication delays for their ETDs. As discussed in this dissertation, the SHERPA Web site called RoMEO (<http://www.sherpa.ac.uk/romeo>) provides authors with information on 477 publisher policies and other Web sites to allow students to review publisher policies before they post their theses and dissertations to the Web. This resource and other similar resources have been added to the USETDA's Web site.

Addressing Publisher Concerns

Though this research project, it became evident that some publishers do have concerns regarding ETDs, while other publishers appear to have few or no concerns regarding articles derived from ETDs. The consensus is that because many articles must be revised and peer reviewed before they are published by journals and, this makes the derived articles quite different from the text in the ETD.

For the area of creative writing, a pressing concern that surfaced through this research project was the concern that some students take exact text from ETDs and attempt to publish it with a journal or through national competitions. As discussed in this dissertation, these students are receiving pushback from one journal, two national competitions, and the Association of Writers and Writing Programs. This issue could be

addressed by working with journal publishers in this field to find out what they think is acceptable. Will a publication delay work? Should these documents be placed in print? How can ETD universities find a win-win solution for all stakeholders (i.e. publishers, faculty, students, higher education administration)? How can ETD universities more directly work with publishers in the field of creative writing, national poetry competitions, and with the Association of Writers and Writing Programs?

In addition, direct interviews with publishers and additional publisher surveys may uncover further concerns and issues to consider as research and journal articles are moved from print to online environments.

Summary of the Study

This study shows that publisher rejections have not occurred for 99% of ETD universities within the United States. Of the 109 respondents in this study, only two universities reported a total of three publisher rejections (1.8%, 2/109) and these were resolved by moving ETDs from their online environments.

The one ETD university that reported two publisher rejections stated that the ETDs were in open access format in the ProQuest/UMI commercial repository, and both students were attempting to submit books for publication from their ETDs. Since ProQuest/UMI is the most popular centralized repository utilized in the United States and since ProQuest/UMI was identified in this study as the most commonly used repository service for distributing ETDs, it may be more likely that these ProQuest/UMI ETDs could be identified as previously published works by publishers. However, it is also

likely that these dissertations were required to be rewritten and revised before they were submitted for publication in book format.

In this dissertation, 403 ETD universities were identified within the United States. This is the largest number ever identified within the United States since ETD programs began in 1997. Of the 403 ETD universities, 114 responded to the survey in this study and 109 surveys were used for data analysis purposes. Of the 109 surveyed, the average number of years in operation was four, the average number of ETDs filed was 255, and the average number of print-only theses and dissertations was 67. Sixty-two percent (62%) of these programs required their students to file ETDs (also called mandatory ETD submission), 17% had partial-mandatory programs for certain colleges and/or departments, and 19% of the programs allowed students to elect to file in print or electronically.

The majority (79%) of the ETD programs in this study filed partial-text ETDs in the ProQuest/UMI commercial repository (this is called traditional publishing at ProQuest/UMI, where the first 24-pages are available in open access and the balance of the ETD is available for purchase). Of the 79% of ETD programs, 53% of these ETD universities allow either open access or partial-text ETDs to be deposited into the ProQuest/UMI repository (once this service is purchased, open access ETDs are freely available to the public at no charge). Seventy-seven percent (77%) also file full-text ETDs in university repositories using a variety of repository technologies (i.e., consortium, ETD-db [NDLTD], open source, university created or purchased repository

software). Similar to ProQuest/UMI's open access ETDs, university repository open access ETDs are freely available to the public at no charge.

The most common types of ETD documents deposited by the universities responding to this study are dissertations (93%), theses (89%), faculty publications (30%), and honor theses (21%).

This dissertation found that there is evidence that some publishers are considering ETDs as pre-prints (articles that have not been peer-reviewed for publication). This dissertation also found that journal publishers are more concerned with students publishing articles with their journal and then placing these previously published articles into their ETDs than they are concerned with students deriving articles from ETDs and then publishing those articles. Could placing an exact article that was previously published with a journal in one's thesis or dissertation be considered a form of self-plagiarizing as ETDs programs continue to grow and publishers become more aware of this practice with ETDs?

ETD universities appear to be doing an excellent job of assisting students in avoiding publisher rejections (for articles submitted for publication that are derived or taken directly from ETDs). ETD universities are accomplishing this by offering a variety of distribution options that allow students to protect their theses and dissertations from online viewing when needed, so students can publish articles, books, short stories, etc., from their ETDs. ETD universities have modified their current distribution options, added additional distribution options, and even changed the distribution options selected

by students after their theses or dissertations were released to the Web in an effort to provide the students with opportunities to publish from their ETDs.

Publication delays are an important protection feature offered to students in that publication delays allow students time to publish from their ETDs before ETDs become available on the Web. Seventy-six percent (76%) of the universities responding to this study stated that their students select publication delays. The percentage of students at the participating universities that selected publication delays this past year ranged from as little .004% of those filing ETDs to as high as 98% of the students filing ETDs requesting publication delays. Since the primary reason that students select publication delays is to publish articles, books, short stories, etc. from their ETDs, it is likely that many students who plan to publish select a publication delay option to protect their ability to publish derived or exact text from their ETDs.

Possible Further Study

This study provides initial data regarding the likelihood that graduate students and graduate student alumni could experience publisher rejections for articles submitted for publication because the articles have been derived or taken directly from ETDs. Due to this lack of research in this area, further scientific studies would be beneficial. Also, there are several related studies that could be conducted on this topic. For example, in this study ETD personnel were surveyed to determine their opinions, policies and practices for processing ETDs. One limitation to this approach is that students may not report publisher rejections back to ETD personnel, so contacting graduate student alumni and asking specific questions regarding their experiences in with publish from their ETDs

could provide further supporting evidence regarding the number of publisher rejections that are or are not occurring for graduate student alumni.

In this study, ETD personnel were asked to estimate the percentage of faculty and students who were concerned about students receiving publisher rejections for articles that were derived from ETDs. To get more accurate data regarding this question, future research could pose this question directly to graduate student alumni and faculty on ETD university campuses to see if the reported percentages hold true to actual concerns of students and faculty regarding this topic.

In this dissertation evidence is presented that creative writing students have experienced publisher rejections and that several universities are exempting creative writing students from their standard distribution option lists. The data collected through this dissertation provides strong evidence that students and faculty are also concerned about creative writers publishing exact text from their ETDs. Since creative writers are most apt to publish exact text from their ETDs, should exempting creative writing students be a standard practice for ETD programs? Additional research needs to be conducted in this area to see what types of risks creative writers are taking when they file ETDs and intend to publish from their ETDs. Perhaps a study that focuses only on creative writers who have taken text directly from their ETDs would be helpful in increasing our knowledge of this commonly reported problem area with regards to publishing from ETDs.

Another possible future study could focus on students with ETDs that are publishing books versus articles. Hagen suggests that ETDs can increase the likelihood

that student will publish other works (Hagen in Foster, 2008). As for Shirley Burns, a WVU ETD graduate, she was able to publish a book on the topic of mountaintop removal primarily because her ETD gained local, national and international attention as an open access ETD. Due to the strong interest for her work online, this landed her a book offer (Maxwell, 2009). Could ETDs be a vehicle for locating those interested in a student writing a book on a specific topic? Since most books that are derived from ETDs must be re-written for a larger audience, can the Web serve as a discovery tool for the student by measuring the interest for a particular topic?

ProQuest/UMI has a Web site called “Is my thesis hot or not?” where students can submit their thesis statements for others to evaluate (at <http://ismythesishotornot.com/index.php>). The site promotes early exposure to ideas. In addition, ProQuest/UMI has a second Web site called “Gradshare” (<http://www.gradshare.com/landing.html;jsessionid=928442B3E491554E2072CF0E670420B1>). These types of online social networking could influence the development of research and people’s willingness to expose their ideas at earlier stages (J. Hagen, personal communication, April 24, 2010).

While Harnad (2009) has already conducted research regarding the increased citation advantages of ETDs, additional studies could be conducted in this area to measure the advantages to students for releasing their ETDs with shorter or longer publication delay periods. What are the disadvantages of new research findings that are blocked for up to five years? Can blocking research for too long be detrimental to one’s future citation rate and the timeliness of releasing their new idea or findings? Is there an

ideal publication delay period that balances the loss of citation with the freedom to publish one's new ideas or findings first? How does this vary across the disciplines? It appears there is no "one size fits all" model, but rather a variety of options may be best.

For comparison purposes, a larger sample of ETD universities who do not offer publication delays could be compared to ETD universities who do offer publication delays to see if there is a difference in the number of publisher rejections received. In this dissertation, publication delays appeared to play a large role in reducing publisher rejections, with one university delaying as many as 98% of their theses and dissertations from appearing immediately on the Web in open access format. A total of 73% of the ETD universities who participated in this study state that they do not encourage publication delays, yet 76% of the ETD universities state that their students requested publication delays. This appears to be a large number of universities receiving publication delay requests, given that ETD university personnel reported that only 4% of the student population indicated they were concerned that publisher rejections could occur.

It is interesting to note that two universities stated they did not offer publication delays, yet they provided a percentage of students who received publication delays (at .09% and .01% of their total ETDs filed for the year). So in some cases, even though universities are stating that students are not allowed to have publication delays, universities are sometimes granting publication delays if it is appropriate for some situations. In addition, one university that reported a publisher rejection in this study indicated the university needs to consider a publication delay option.

There could be great value in conducting a similar study in five years. As ETD programs continue to grow and the world of online publishing continues to change, comparing these findings could be especially interesting to those with current ETD programs, to those considering new ETD programs, and to those who are still concerned that students may receive publisher rejections for articles submitted for publication that have been derived or taken directly from ETDs.

Since this study focused on contacting 520 identified universities, a longer-term study could be conducted with the goal of contacting the balance of the 1,800 universities (private and public) that grant master and/or doctoral degrees within the U.S. This would provide a more accurate number of ETD programs within the U.S. and provide for the division of data into other sectors (i.e., private/public institutions, large/small institutions, master/doctoral programs, specific types of Carnegie classifications, such as research versus teaching institutions).

While there does appear to be evidence that publisher rejections exist, the ETD universities within the United States appear to be doing an exemplary job assisting students in avoiding publisher rejections. Most universities provide publication delay options, so students have adequate time to publish before their documents become available online as open access. Some universities have changed their ETD distribution options for the students when needed to accommodate students in publishing articles or books.

Current ETD programs can move forward with confidence that they have found ways to assist students in avoiding publisher rejections through the types of distribution options offered, publication delays, and through the flexibility in changing distribution

options for graduate student alumni when they have had difficulties publishing from their ETDs. They can also feel more at ease that publishers appear to be considering ETDs pre-prints in many cases. Yet, ETD universities should remain aware that many publishers are resistant to allowing students to place previously published articles inside their ETDs.

Barton (2005) notes there are many advantages of full-text ETDs over traditional print copies that we have yet to see, because the low exposure of print theses and dissertations assured that theses and dissertations were gravely underutilized. The readership for theses and dissertations before they became electronic was low, and the only mechanism for sharing newly created scholarship was through academic conferences, journal publications, or through the publishing of books (Barton, 2005). Before ETDs, the success of a thesis or dissertation could only be measured in the number of citations or references found in other works (Barton, 2005). The growth and development of ETD technologies in the future will be interesting to watch as universities continue to develop ETD programs that provide theses and dissertations on the Web for free, as the print industry changes their methods for distributing research articles and books, and as the U.S. copyright law changes to accommodate online documents.

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APPENDIX A: WINTER 2010 SURVEY OF ELETRONIC THESIS AND
DISSERTATION (ETD) PUBLISHER REJECTIONS

**Winter 2010 Survey of Electronic Thesis and Dissertation (ETD) Publisher
Rejections**

The goal of this survey is to gather data from university personnel who work directly with graduate students filing Electronic Theses and Dissertations (ETDs) either through an institutional repository and/or through ProQuest/UMI. Your assistance with completing this short 10-minute, voluntary survey will be greatly appreciated for both my research project and for the ETD community at large.

For questions, contact Angela McCutcheon, Director of ETD, Ohio University, Athens, OH, mcutcha@ohio.edu, (740) 597-2599. This information is being collected for research purposes through Ohio University, Athens, OH. The completion of this survey constitutes consent for the data to be used for research purposes only. Participants must be 18 years of age or older. If you do not have exact numbers for any survey question, please estimate the numbers/percentages that best represents your university.

1. Do you file Electronic Thesis and/or Dissertation (ETD) documents?
 - Yes (with ProQuest/UMI and/or institutional repository)
 - No (if paper only, you do not need to complete this survey)
 Comment: _____

2. What types of documents do you accept in electronic format? Select all that apply:
 - Theses
 - Dissertations
 - Faculty publications
 - Honors Theses (if you accept undergraduate thesis only, you do not need to complete this survey)
 - Other
 If "Other," please explain: _____

3. What is your primary **Web address** for thesis and dissertation formatting and online submission instructions? (If none, please state "NA.") _____

4. How many **years** have you been accepting ETDs? _____

5. **In the last 12 months**, how many graduate students filed ETDs? Please estimate if needed:

6. **In the last 12 months**, how many graduate students filed only "**paper**" theses or dissertations (i.e. documents were placed on a library shelf and no digital copies were filed):

7. Are ETDs mandatory for all graduate programs?
- Yes (please indicate the beginning mandatory date below)
 - Partially mandatory (i.e. required by some departments/colleges only, please list below)
 - No (students elect to file in electronic or paper format)
 - Don't know
- If "Yes," please indicate mandatory start date. If "Partially Mandatory," please explain what departments/colleges are **not** mandatory and why: _____
8. Please check all distribution options available to your students:
- Open Access** (document is freely available on the Web)
 - Open Access with Publication Delay** (document is blocked for a period of time before released into open access or document is available for university-only access until the publication delay period ends and then goes to open access)
 - University-only Access** (document is available to patrons of university library via login any where in the world)
 - University-only Access with Publication Delay** (document is blocked for a period of time and then moves to university-only access via login)
 - Paper** (document is placed on library shelf and is only available from a shelf or Interlibrary Loan)
 - Withheld** (no access for a period of time and then document goes to open access)
 - Other** (please explain below)
 - Don't know**
- If you have some departments/colleges with different distribution options available, please specify department/college and reason(s): _____
9. If your university offers publication delays, once the publication delay time period ends, do all ETDs become open access?
- Yes
 - No
 - Other
- If "Other," please specify or comment: _____
10. Who controls/establishes your distribution methods? Check all that apply:
- Library administration
 - Graduate school/college administration
 - State or consortia repository administration
 - Dean (please specify college name below)
 - Other
- If "Other," please specify or comment: _____
11. What publication delay time periods are available to your students? Check all that apply:
- We do not offer publication delays
 - 6 months
 - 1 year
 - 2 years
 - 3 years
 - 4 years
 - 5 years
 - 6 years

- Indefinitely
- Other

If "Other," please explain. If different for some departments/colleges, please indicate which ones are different and why: _____

12. What is the primarily reason you offer publication delays? Check all that apply:
- To protect students ability to publish (articles, books, short stories, etc.) from their ETDs
 - Patents
 - Faculty recommend them
 - Other

If "Other," please specify: _____

13. In what type of repository are your theses and dissertations deposited? Select all that apply:

- Consortium** (includes statewide [OhioLINK, Texas Repository], regional, etc.--please provide name below)
- ETD-db** (Virginia Tech/NDLTD System open source)
- Open Source** (e.g., DSpace, Fedora, Eprints--please provide name below)
- ProQuest/UMI** (traditional publishing)
- ProQuest/UMI** (open access)
- Purchased** (e.g., OCLC CONTENTdm, Ex Libris DigiTool, Innovative Interface Symposia, BEPress Digital Commons, VTLS VITAL--please provide name below)
- University created**
- Other**
- Don't know**

If "Other," please explain. Please indicate names of system(s) used here if Consortium, Open Source, or Purchased: _____

14. **Over the life of your ETD program, how many times has your institution modified or added distribution options?** Count all modifications to existing distribution options (e.g., changes in publication delay/embargo time period) or additional option added (e.g., university only access, withheld access or paper for a particular department).

- 1 time
- 2 times
- 3 times
- 4 times
- 5 times
- Other

If "Other" selected, please specify number. Please note reason for change(s) if known: _____

15. **Over the life of your ETD program, have your requests for publication delays?**

- Increased
- Decreased
- Remained at about the same
- We do not offer publication delays
- Don't know

If "Increased" or "Decreased," please explain why you believe this to be true: _____

16. **In the last 12 months**, what **percentage** of students requested a publication delay for their ETDs? _____
17. Of the distribution options available to your students, do you feel these allow adequate time for graduates to publish derived or exact text from ETDs?
- Yes
 - Maybe
 - No
 - Don't know
- If "Maybe" or "No," please explain what you would change and why: _____
18. Have you or your university ever allowed a **change** in a distribution option (e.g., a change from Open Access to University-only Access or from open access to a Delayed Publication), because the student discovered the open access document was interfering with his or her ability to publish (e.g., an article, book, short story, poetry) from an online thesis or dissertation?
- Yes
 - Maybe
 - No
 - Don't know
- If "Yes" or "Maybe," please explain the reason for the change and student's department. Also, please note if your university has a policy on this issue: _____
19. Do you encourage publication delays for _____? Check all that apply:
- Theses
 - Dissertations
 - It depends on the department/college (please indicate dept./college below)
 - I don't encourage publication delays
 - I see no purpose for publication delays
 - Other
- If you encourage publication delays, please explain why and note department(s) if applicable. If "It depends on the department/college," please indicate dept./college. If "Other" selected, please clarify. _____
20. **In the past 12 months**, how many graduates have reported publisher rejections for submitted articles (e.g. articles, books, short stories, poetry) due to the articles being derived or taken directly from ETDs?
- If none, type "NA." If publisher rejection(s) occurred, please note the student's department(s) if known. Please indicate if these were ProQuest/UMI or institutional repository ETD documents if known. _____

21. **Since your university began filing ETDs**, how many total graduates have reported publisher rejections for articles (e.g. articles, books, short stories, poetry) submitted for publication due to the articles being derived or taken directly from ETDs?

If none, type "NA." If publisher rejection(s) occurred, please note the student's department(s) if known. Please indicate if these were ProQuest/UMI or institutional repository ETD documents if known.

22. Note the percentage of **students** that are **concerned** about their ETDs being considered previously published works.

If none, please type "NA." If percentage is greater than zero (0), please indicate department(s)/college(s) most concerned.

23. Note the percentage of **faculty** that are **concerned** about their students' ETDs being considered previously published works.

If none, please type "NA." If percentage is greater than zero (0), please indicate department(s)/college(s) most concerned:

24. Before ETDs (when theses and dissertations were only in paper), did your university have any difficulties with journals or book publisher considering theses and dissertations previously published works?

- Yes
 No
 Don't know

If "Yes," please explain (or comment if desired): _____

25. Do you have any other experiences or comments to share regarding the topic of ETDs being considered previously published works? _____
-

26. If you know of any student or faculty member that would be willing to discuss publisher rejections for articles submitted for publication due to the articles being derived or taken directly from ETDs, please have them contact me at mcutcha@ohio.edu or (740) 597-2599. Thank you! _____

APPENIDX B: LOUISIANA STATE UNIVERSITY CREATIVE WRITING
EXCEPTION FOR ETDS

5.6 MFA in Creative Writing Submission Requirements

Students who are completing a thesis for the MFA in Creative Writing have the option of providing a paper copy to be available on the shelves in the LSU Library rather than having an electronic copy available through the LSU ETD website. Students are still required to submit an archival electronic copy in **pdf** format through the ETD website for the digital repository. Students selecting this option must:

1. *Submit a paper copy (regular printer paper) of the **pdf** version of their document for editor approval.*
2. *Observe standard binding guidelines for margin requirements of 1½ inches left, 1-inch top, bottom and right margins.*
3. *Make required corrections and submit the following to the Graduate School by appropriate deadlines:*
 - a. *A copy of the thesis printed on 100% cotton/acid-free paper.*
 - i. *Approved paper for this copy may be obtained from the following suggested sites:*

http://www.southworth.com/catalog/product_info.php?cPath=2&products_id=43
<http://www.instaoffice.com/acid-free-cotton-paper.0.3.0.htm>

ii. *The printed copy will be forwarded to the LSU Library for cataloging, binding and shelving.*

b. *An electronic **pdf** version must be uploaded and approved by required deadlines. The electronic copy will become a part of the LSU permanent off-site digital archives and will in no way become publicly available.*

APPENDIX C: WEST VIRGINIA UNIVERSITY ETD DISTRIBUTION METHODS

Levels of Distribution

Three levels of electronic distribution are available. Graduate students submitting their ETD may choose the level which fits their situation. For more detailed information about WVU Web distribution options and current trends visit <http://www.libraries.wvu.edu/theses/intel-prop.htm#w>

1. Open Access (World Wide) Distribution The first option, recommended by the University and ETD/IR Task Force, is to make the information freely available worldwide. It should be noted that this option may be viewed by some book or journal publishers as publishing the work. They may see a conflict with this level of distribution of the thesis or dissertation.

2. Campus Access (WVU login required) Distribution The second option is to make the ETD freely available to WVU persons via login and as requested through our University Libraries' Interlibrary Loan (ILL) Department. WVU Libraries' ILL Department will provide access via electronic or print distribution of Campus restricted ETDs. This option addresses situations such as when a book or article is planned, and the book or journal publisher is concerned that prior publishing through a digital library may impact on sales.* Campus access distribution will continue from year to year without special notification for a period of five years after the submission approval date, after which time it will revert to 'open access (worldwide) Distribution', unless an exception has been granted by the ETD Archivist with special permission from the department and/or college/school.* *Blanket Exceptions: Due to special disciplinary publication norms and curriculum requirements, an open-ended campus restriction will be allowed **exclusively** for M.F.A. Creative Writing program theses, beginning with the spring 2009 semester. Students must request this restriction in writing on the [ETD Signature Form](#) to allow special handling by WVU Libraries staff. ETD exemptions will no longer be granted for this circumstance. The campus-wide ETD policy requirement will be strictly enforced. WVU Libraries' ILL Department will provide access via print-only distribution of Campus restricted ETDs. The former "Campus (Encrypted)" option has been phased out as of fall 2008. WVU Libraries' ILL Department will provide access via print-only distribution of Campus (Encrypted) ETDs.

3. No Access (Complete embargo to file access) The third option is to embargo the thesis or dissertation for reasons of patent, proprietary or data sensitivity interest.

The student, with the written approval of his/her advisor, may select "No Access" distribution for the ETD. (A student may select open access or campus access distribution without their advisor's consent). The university ETD archivist will explain to the student the impact of embargoed status. The student will indicate the initial embargo time period up to the maximum allowed.

b) A student may not select embargoed status in lieu of obtaining appropriate copyright permissions as theses and dissertations are intended to be public record of examination documents.

c) The university will determine, with guidance from the student and advisor, whether the embargo request is for a valid patent (or similar) purpose, and will so designate the ETD as eligible to be "embargoed for patent/proprietary purposes" under the "No Access" distribution option.

d) An ETD, in its entirety, and all component supplementary files, will be governed by only one level of distribution at any given time. ETDs may not be subdivided with sections distributed under differing levels of distribution.

For ETDs holding the status of "No Access,"

ETDs holding the status of "No Access," will be handled in the same manner as the paper documents were previously handled. The status of "No Access " should be only rarely used. It is designed to secure the work, even disallowing access to the WVU community. This procedure addresses situations such as when a patent application is planned or when proprietary interests are at stake. In certain cases, WVU may have rights related to intellectual property, and so does not want to release the work without its (WVU Intellectual Properties) permission. The graduate student will be asked to provide the reason this option has been selected. Additionally, U.S. Federal Export Laws may prohibit disclosure of certain technologies which may be deemed to be critical or detrimental to the interest of national security.

ETDs under the "No Access " will be placed on a secured server, but the ETD file link(s) will not be made visible or available to anyone. Only the metadata (author, title abstract and basic information about the submission) will be publically visible.

The status of "No Access " will lapse after 1 year. To extend this time period for one additional year, the student must contact the ETD archivist to obtain the extension. Students may also designate a "post-embargo" option. After the first year of access embargo, access may be pre-determined to move to either option 1 (open access) or option 2 (campus access). Five years after submission approval date, the document will be moved into open access (worldwide) distribution unless an exception has been granted by the ETD Archivist with special permission from the department and/or college/school.

Used with permission of John Hagen (2009).

APPENDIX D: NETWORKED DIGITAL LIBRARY OF THESES AND
DISSERTATIONS MEMBERSHIP LIST BEFORE INCORPORATING INTO A 501
C3 CHARITABLE NON-PROFIT ORGANIZATION IN 1994

NDLTD Official Members

NDLTD Networked Digital Library
of Theses and Dissertations

184 NDLTD members: 160 member universities (including 6 consortia); 24 institutions

1. [Air Power Research Institute College of Aerospace Doctrine, Research and Education](#)
2. [Aristotle University of Thessaloniki \(Greece \)](#) **R 01/2003**
3. [Assumption University of Thailand\(abac\) \(Thailand \)](#) **R 01/2003**
4. [Australian National University](#)
5. [Baylor University](#) *g*
6. [Biblioiteca de Catalunya](#)
7. [Biblioteques Interuniversitaire de la Communaute francaise de Belgique \(Belgium\)](#) **NEW**
8. [Boston College](#) * *g*
9. [Brigham Young University](#) * *g*
10. [California Institute of Technology](#) *g* **R 07/2002**
11. [Central Connecticut State University](#) **NEW** **R 09/2003**
12. [Chinese University of Hong Kong](#)
13. [Chung Yuan Christian University \(Taiwan \)](#) **R 04/2001**
14. [Chungnam National University](#) **R 11/1998**
15. [City University, London](#)
16. [Clemson University](#) ° *g*
17. [College of William and Mary](#) *g*
18. [Concordia University](#) *g*
19. [Consorti de Biblioteques Universitaries de Catalunya](#)
83. [Universitat de Barcelona](#)
84. [Universitat de Girona](#)
85. [Universitat Jaume I](#)
86. [Universitat de Lleida](#)
87. [Universitat de les Illes Balears](#)
88. [Universitat de Valencia](#)
89. [Universitat Oberta de Catalunya](#)
90. [Universitat Politecnica de Catalunya](#)
91. [Universitat Politecnica de Valencia](#) **R 09/2000**
92. [Universitat Pompeu Fabra](#)
93. [Universitat Rovira i Virgili](#)
94. [Université Lyon2 \(France\)](#) *
95. [University of Bergen \(Norway\)](#)
96. [Universitätsbibliothek Munchen \(Germany \)](#) **NEW** **R 03/2004**
97. [Universite Laval \(Canada \)](#) * *g* **R 02/2002**
98. [University of Antioquia](#)
99. [University of Central Florida](#)
100. [University of British Columbia](#)
101. [University of Campinas Faculty of Education](#)
102. [University of Colorado](#) * *g*
103. [University of Edinburgh](#)
104. [University of Florida](#) * ° *g* **R 08/2001**
105. [University of Georgia](#) * ° *g* **R 09/2001**
106. [University of Glasgow](#)
107. [University of Guelph \(Ontario, Canada\)](#) *
108. [University of Hawaii at Manoa](#) * ° *g*
109. [University of Hong Kong \(Hong Kong \)](#) **R 11/2000**
110. [University of Hyderabad](#) **R 12/2001**

NDLTD Official Members

20. [Consortium CVA-RICESU](#)
21. [Curtin University of Technology](#)
22. [Darmstadt University of Technology](#)
23. [Drexel University](#) *g* **R 04/2002**
24. [Duquesne University](#) *g* **R 07/2003**
25. [East Carolina University](#) *g*
26. [East Tennessee State University](#) *g* **R 01/2001**
27. [Feng Chia University \(Taiwan \)](#)  **R 05/2002**
28. [Florida International University](#) *g*
29. [Florida State University](#) * *g*
30. [Florida Tech](#)
31. [Freie Universitat Berlin](#) **R 04/1998**
32. [Georgetown University](#) * *g*
33. [George Washington University](#) * *g*
34. [Gerhard Mercator Universitat Duisburg](#)
35. [Griffith University \(Australia \)](#)
36. [Gyeongsang National University](#)
37. [Helsinki University of Technology \(Finland \)](#) **R 01/2004**
38. [Humboldt-Universitat zu Berlin \(Germany \)](#)
39. [Indian Institute of Technology, Bombay](#)
40. [Johns Hopkins University](#) * *g*
41. [Lithuanian Academic Libraries Directors Association \(Lithuania\)](#) 
42. [Louisiana State University](#) ° *g* **R 01/2002**
43. [Lund University, Sweden](#)
44. [Marshall University](#) *g*
45. [Massachusetts Institute of Technology](#) * ° *g*
46. [McGill University, Montreal, Quebec](#) * ° *g*
47. [Miami University](#) *g*
48. [Michigan Technological University](#) *g*
49. [Mississippi State University](#) ° *g*
50. [Montana State University](#) ° *g*
51. [Nanyang Technological University](#)
111. [University of Illinois at Urbana-Champaign](#) * ° *g*
112. [University of Iowa](#) * ° *g*
113. [University of Kentucky](#) * ° *g* [[Department of Computer Science](#) **R**]
114. [University of Maine](#) ° *g*
115. [University of Melbourne](#)
116. [University of Missouri-Columbia](#)
117. [University of Nevada, Las Vegas](#)
118. [University of Mysore](#)
119. [University of New Brunswick](#)
120. [University of New Orleans](#) *g*
121. [University of New South Wales](#)
122. [University of North Texas](#) *g* **R 08/1999**
123. [University of Novi Sad, Computing and Control Department](#) **R 01/2004**
124. [University of Oklahoma](#) * ° *g*
125. [University of Pisa](#)
126. [University of Pittsburg](#) * ° *g*
127. [University of Pretoria : Electronic Theses and Dissertations](#)
128. [University of Queensland](#)
129. [University of Rochester](#)
130. [University of South Africa \(South Africa \)](#)  **R 04/2003**
131. [University of South Florida](#) *g* **R 08/2002**
132. [University of Sydney](#)
133. [University of Tampere](#)
134. [University of Tennessee Health Science Center](#) ° *g*
135. [University of Tennessee, Knoxville](#) * ° *g*
136. [University of Texas at Austin](#) * ° *g* **R 06/2001**
137. [University of Texas Medical Branch](#)  *g* **R 09/2004**
138. [University of the Free State](#)
139. [University of the West Indies Mona \(Jamaica \)](#)  **R 08/2004**

NDLTD Official Members

52. [Naresuan University \(Thailand \)](#) **R 02/2003**
53. [National Sun Yat-sen University](#) **R 10/2000**
54. [National Taiwan Normal University](#) **R 01/1999**
55. [National University of Singapore, School of Computing](#)
56. [New Mexico Institute of Mining and Technology \(NM Tech\)](#)
57. [Naval Postgraduate School](#) *g*
58. [New Jersey Institute of Technology](#) *g*
59. [North Carolina State University](#) *g* **R 09/2002**
60. [Northwestern University](#) * *g*
61. [Pennsylvania State University](#) * ° *g*
62. [Pontificia Universidade Catolica de Minas Gerias - PUC Minas](#)
63. [Pontificia Universidade Catolica do Rio de Janeiro \(Brazil \)](#) **R 08/2002**
64. [Rand Afrikaans University](#)
65. [Regis University](#)
66. [Shanghai Jiao Tong University \(China\)](#)
67. [Rhodes University \(South Africa \)](#) **R 01/1999**
68. [Rochester Institute of Technology](#) * *g*
69. [Rzeszow School of Business \(Poland \)](#) **NEW R 05/2003**
70. [St. Petersburg State Technical University](#)
71. [Texas A&M University](#) * ° *g*
72. [The Robert Gordon University \(UK \)](#) **NEW R 08/2004**
73. [UNESP - Universidade Estadual Paulista](#)
74. [Universidad de Chile](#)
75. [Universidad de las Americas Puebla](#) **R 05/2003**
76. [Universidad Fermin Toro \(Venezuela \)](#)
140. [University of Utrecht \(Netherlands \)](#) **R 09/1997**
141. [University of Virginia](#) * *g* **R 01/2003**
142. [University of Waterloo \(Canada \)](#) *
143. [University of West Florida](#) *g*
144. [University of Western Ontario \(Canada \)](#) * **R 06/2003**
145. [University of Wisconsin-- Stout Library Learning Center](#) **R 12/1999**
146. [University of Wisconsin-Madison](#) * ° *g*
147. [Uppsala Universitet](#) **R 01/2003**
148. [Virginia Commonwealth University](#) *g*
149. [Vanderbilt University](#) * *g*
150. [Virginia Commonwealth University](#) **NEW** *g*
151. [Virginia Tech](#) * ° *g* **R Jan. 1997**
152. [Wake Forest University](#) *g*
153. [Western Michigan University](#) *g*
154. [West Virginia University Libraries](#) ° *g* **R 08/1998**
155. [Western Kentucky University](#) *g* **R 09/2004**
156. [Wilfrid Laurier University](#) (Ontario, Canada)
157. [Worcester Polytechnic Institute](#) *g* **R 07/2002**
158. [Xiamen University Library \(China,PRC \)](#) **NEW R 01/2003**
159. [Yale University Library](#) * *g* **R 03/2002**
160. [Yupei University of Science and Technology \(Taiwan \)](#) **R 02/2003**

NDLTD Official Members

R 03/2003

77. [Universidad Politecnica de Cartagena](#)
 78. [Universidade de Sao Paulo \(Brazil \)](#) **R**

08/2001

79. [Universidade Estadual de Londrina \(Brazil \)](#) **R 07/2003**
 80. [Universidade Federal Fluminense](#)
 81. [Universitat Autonoma de Barcelona](#)
 82. [Universitat d'Alacant](#)

° = [Land Grant](#)

[Institution](#)(National Association of State Universities and Land-Grant Colleges (NASULGC) (20)

* = [Association of Research Libraries](#) member(41)

g = [Council of Graduate Schools](#) member(67)

R [date] = university began requiring ETDs (45)

[Join the NDLTD!](#)

[Contacts](#) at NDLTD sites

- MEMBER INSTITUTIONS
- [Australian Digital Theses Program](#)
- [British Library](#)
- [Catholic School For Higher Education Kempen \(Belgium \)](#) **R 09/1997**
- [Cinemia](#)
- [Coalition for Networked Information](#)
- [Committee on Institutional Cooperation](#)
- [Digital Dissertation Foundation of India \(India \)](#) **NEW** **R 05/2001**
- [Diplomica.com](#)
- [Dissertatione Online](#) (German national project)
- [Dissertation.com](#)

- [ETDweb, Division of Answers4.com](#)
- [Ibero-American Science & Technology Education Consortium \(ISTEC\)](#)
- [MathDISS International](#)
- [National Document Center of Greece](#)
- [National Library of Canada](#)
- [National Library of Portugal](#)
- [OhioLINK](#)
- [OCLC: Online Computer Library Center](#)
- [Organization of American States](#)
- [Office of Scientific and Technical Information - Department of Energy](#)
- [Society of Petroleum Engineers/Universidad de Oriente-Monagas Student Chapter \(Venezuela \)](#) **NEW** **R 06/2003**
- [Solinet: Southeastern \(U.S.\) Library Network](#)
- [Sudanese National Electronic Library \(Sudan \)](#) **R 03/2003**

NDLTD Official Members

- [UNESCO:](#)
[UNESCO Clearinghouse](#)

Other ETD sites

- [BioMed Central](#)
- [CERN](#) (European Laboratory for Particle Physics)
- [University of Montreal Press](#)
- [University Theses On-line Group \(UTOG\)](#) (libraries and universities in Great Britain)
- [University of Toronto](#) (with York U)
- [York University](#) (with U of Toronto)

<http://tennessee.cc.vt.edu/~lming/cgi-bin/ODL/mm-ui/members/index.htm>
Updated: Jan 18, 2003 (ML)

Source: John Hagen. West Virginia University. June 8, 2009.

APPENDIX E: CURRENT NDLTD MEMBERSHIP LIST AS OF MAY 8, 2009

This is a list of all current institutional, consortia and individual members. While many organizations have joined and supported NDLTD in its formative years, this list only indicates members that make an annual financial contribution. For more information on fees and membership in NDLTD, click on [Join NDLTD](#).

Institutional Members

1. Adobe
2. Agence Bibliographique de l'enseignement supérieur
3. American Library Association (USA)
4. Antioch University (USA)
5. Ball State University (USA)
6. Boston College (USA)
7. Brigham Young University (USA)
8. Brown University (USA)
9. California Institute of Technology (USA) *g* **R 07/2002**
10. Coalition for Networked Information (USA)
11. Consorci de Biblioteques Universitàries de Catalunya
12. Cranfield University (UK)
13. Creighton University (USA)
14. Duquesne University (USA) *g* **R 07/2003**
15. East Carolina University (USA)
16. East Tennessee State University (USA)
17. Emory University (USA)
18. George Washington University (USA) * *g*
19. Georgia Institute of Technology (USA) * *g* **R 05/2004**
20. Georgia Southern University (USA) * *g* **R 08/2005**
21. Georgia State University (USA) *g*
22. Georgetown University (USA)
23. German National Library (Germany)
24. Humboldt Universität zu Berlin (Germany) **R 02/1998**
25. Indiana State University (USA)
26. Indiana University of Pennsylvania (USA) **R**
27. Johns Hopkins University (USA) * *g*
28. Kansas State University (USA) *o g* **R 08/2006**
29. Kaunas University (Lithuania)
30. Kauno Technologijos Universitetas (Lithuania)
31. Kungliga Biblioteket (Sweden)
32. Library and Archives Canada (Canada)
33. Louisiana State University (USA) *o g* **R 01/2002**

34. Marshall University (USA)
35. Massachusetts Institute of Technology (USA)
36. McGill University (Canada)
37. Millersville University (USA)
38. Mississippi State University (USA)
39. National Research Foundation (South Africa)
40. New Jersey Institute of Technology (USA) *g*
41. New Jersey Science and Technology Universities (USA)
42. OGI School of Science and Engineering at OHSU (USA)
43. Ohio University (USA)
44. Oregon Health and Sciences University (USA)
45. Oregon State University (USA) *o g R 01/2007*
46. Patents Online LLC
47. Pontificia Universidade Católica do Rio de Janeiro (Brazil) **R 08/2002**
48. ProQuest
49. Rhodes University (South Africa) **R 01/1999**
50. Rice University (USA)
51. Robert Gordon University (UK)
52. Rochester Institute of Technology (USA)
53. Simon Fraser University (Canada)
54. Temple University (USA)
55. Texas Tech University (USA) * *g R 09/2005*
56. Universidad de las Americas Puebla (Mexico)
57. Università Degli Studdi di Bologna (Italy)
58. Università Cattolica del Sacro Cuore (Italy)
59. Universität St. Gallen (Switzerland)
60. Universite Laval (Canada)
61. Université du Québec à Rimouski (Canada)
62. University of Arizona (USA)
63. University of British Columbia (Canada)
64. University of Eastern Africa (Kenya)
65. University of Kansas (USA)
66. University of Kentucky (USA)
67. University of Latvia (Latvia)
68. University of Malaya (Malaysia)
69. University of Manitoba (Canada)
70. University of Maryland (USA)
71. University of Miami (USA)
72. University of New Orleans (USA) *g*
73. University of North Carolina - Chapel Hill (USA)
74. University of North Carolina - Greensboro (USA)
75. University of North Texas (USA)
76. University of Nottingham (UK)
77. University of Pittsburgh (USA) * *g R 12/2004*

78. University of South Florida (USA) *g* **R 08/2002**
79. University of Tennessee (USA)
80. University of Texas at Austin (USA)
81. University of Texas Medical Branch (USA)
82. University of the West Indies (West Indies)
83. University of Victoria (Canada)
84. University of Waterloo (Canada) *
85. University of Zimbabwe (Zimbabwe)
86. Uppsala Universitet (Sweden)
87. Utah State University (USA)
88. Virginia Commonwealth University (USA)
89. Virginia Tech (USA) * *o g* **R 01/1997**
90. VTLS, Inc.
91. West Virginia University (USA) *o g* **R 01/1998**
92. Worcester Polytechnic Institute (USA)
93. Yale University (USA)* *g*

Consortia Members

1. OhioLINK
2. Triangle Research Libraries Network

Individual Members

1. Ana Maria B. Pavani
2. Deborah Baldwin
3. Ljubisa Durkovic
4. Patricia Moore

Legend: O Land Grant Institution; * Association of Research Libraries; g Council of Graduate Studies; R date when commenced requiring ETDs

Some information on [past members](#) is also available.

Please contact the website administrator to report errors on this list. Note that the links to pages listing contact details are not currently actively maintained.

last modified 2009-05-08 08:57

Source: NDLTD Member List as of May 8, 2009. Retrieved on July 11, 2009, from <http://www.ndltd.org/about/members/ndltd-members>

APPENDIX F: ETD PROGRAMS LOCATED IN THE U.S. IN 2005

	University	ETD Web Address
1	Boston College	http://dissertations.bc.edu/
2	Brigham Young University	http://etd.byu.edu/
3	Case Western Reserve University	http://www.ohiolink.edu/etd/browse.cgi?by=show-univ&univ=Case+Western+Reserve+University
4	University of Cincinnati Libraries	http://www.ohiolink.edu/etd/browse.cgi?by=show-univ&univ=University+of+Cincinnati
5	Cornell University	http://dspace.library.cornell.edu/browse-author
6	University of Florida	http://uf.aleph.fcla.edu/F/?func=file&file_name=basic-ufu_etd&local_base=ufu_etd
7	Florida State University Library	http://etd.lib.fsu.edu/ETD-db/ETD-browse/browse?first_letter=all
8	George Washington University	http://www.gwu.edu/~etds/
9	University of Georgia	http://dbs.galib.uga.edu/cgi-bin/ultimate.cgi?dbs=getd&userid=galileo&action=search&_cc=1
10	Georgia Institute of Technology	http://etd.gatech.edu/ETD-db/ETD-browse/browse?first_letter=all
11	University of Kentucky	http://www.kyvl.org/
12	Louisiana State University	http://etd.lsu.edu/cgi-bin/ETD-browse/browse
13	University of Missouri – Columbia	http://web.missouri.edu/%7Egradschl/etd/
14	North Carolina State University	http://www.lib.ncsu.edu/ETD-db/ETD-browse/browse
15	Northwestern University Library	http://www.at.northwestern.edu/etd/
16	University of Notre Dame	http://etd.nd.edu/ETD-db/ETD-browse/browse
17	Ohio State University	http://www.ohiolink.edu/etd/browse.cgi?by=show-univ&univ=Ohio+State+University
18	Ohio University	http://www.ohiolink.edu/etd/browse.cgi?by=show-univ&univ=Ohio+University
19	Pennsylvania State University Libraries	http://etda.libraries.psu.edu/
20	University of Pittsburgh	http://etd.library.pitt.edu/ETD-db/ETD-search/browse
21	University of Tennessee – Knoxville	http://diglib.lib.utk.edu/cgi/b/bib/bib-idx?c=etd-bib;cc=etd-bib;page=index
22	University of Texas – Austin	http://www.lib.utexas.edu/admin/cird/collections/theses.html (must have password to enter)

	Texas A&M	
23	University Libraries	http://txspace.tamu.edu/handle/1969/2
	Texas Tech University	
24	Libraries	http://etd.lib.ttu.edu/ETD-db/ETD-browse/browse?first_letter=all
25	Vanderbilt University	http://etd.library.vanderbilt.edu/ETD-db/ETD-browse/browse
26	Virginia Tech	http://scholar.lib.vt.edu/theses/browse/by_author/
	Kent State University	
27	Libraries (dissertations only)	http://www.ohiolink.edu/etd/browse.cgi?by=show-univ&univ=Kent+State+University
	Massachusetts	
	Institute of	
	Technology (digitizes	
28	after the fact)	http://theses.mit.edu/Dienst/UI/2.0/ListAuthors/A-Z?authority=
	University of Alabama	
29	(begins August 2005)	
	University of North	
	Carolina - Chapel Hill	
30	(begins 2006)	

Source: Surratt, B. E. (September 2005) ETD release policies in American ARL institutions: A preliminary study. Retrieved on May 31, 2009, from <http://txspace.tamu.edu/handle/1969.1/2483>

APPENDIX G: THE UNIVERSITY OF TEXAS AT ARLINGTON - INTELLECTUAL
PROPERTY STATEMENT FORM

Intellectual Property Statement Form

You can save a filled copy of this form on your computer by clicking on the  icon on your browser.

I hereby certify that:

- 1) My thesis/dissertation is my own original work.
- 2) No portion of my thesis/dissertation has been copyrighted previously unless properly referenced.
- 3) My thesis/dissertation does not contain slanderous, libelous, or unlawful statements and does not infringe on the civil rights of others.
- 4) My thesis/dissertation conforms to the sections on copyrighting and plagiarizing in *The UTA Thesis and Dissertation Guide: Requirements, Style, and Template*.
- 5) If there is a breach of items 1-4 above, I indemnify The University of Texas at Arlington and hold it harmless for any legal actions that might result.
- 6) I give UTA permission to post my thesis or dissertation on a public server hosted by UTA or its licensee.

Printed name as it appears on your thesis/dissertation

Signature

Date

You may be entitled to know what information The University of Texas at Arlington (UT Arlington) collects concerning you. You may review and have UT Arlington correct this information according to procedures set forth in UTS 139. The law is found in sections 552.021, 552.023 and 559.004 of the Texas Government Code.

Source: The University of Texas at Arlington. Retrieved on November 16, 2009, from http://grad.uta.edu/resources/pdf/Intellectual_Property_Form.pdf

ADDENDIX H: LICENSE TO PUBLISH EXAMPLE

AUTHORIZATION FOR USE OF THESIS/SPECIALIST/DISSERTATION

This form will be filed with the original thesis and with the TopSCHOLAR® administrator and will control future use of the thesis.
Your thesis/project will not be processed without this sheet.

Please check parts **I** and **II**.

I. Copyright Permission for TopSCHOLAR® research repository (digitalcommons.wku.edu)

I hereby warrant that I am the sole copyright owner of the original work.

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(please specify restrictions) _____

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_____ Reserved to the author for making of copies of this thesis except for brief sections for research and scholarly purposes. (Copy 2 Library, bound photocopy not necessary with this option)

Name Printed _____

Signed _____

Dated _____

Source: [Western Kentucky University](http://www.wku.edu/graduate/index.php?page=thesis-guidelines). Retrieved on November 30, 2009, from <http://www.wku.edu/graduate/index.php?page=thesis-guidelines>

APPENDIX I: HISTORY OF ETDS INITIATIVES

ETD Activity	Purpose
1987	UMI, Virginia Tech, University of Michigan, ArborText, and SoftQuad met in Ann Arbor, Michigan, to discuss existing electronic publishing standards (ETD Guide, 1987-2007). “Soon after...SoftQuad worked with Virginia Tech to develop the first SGML Document Type Definition (DTD) for theses and dissertations” (Fox, et al., 1996, p. 5).
1991	Graduate Dean, library and faculty at Virginia Tech conducted digital library research. Adobe Acrobat software for creating portable file formats (PDF) was available and changed universities’ ability to share portable files on the Internet regardless of the operating system used.
1992	“The Coalition of Networked Information sponsored a project discovery workshop with 11 universities” (Fox, et al., 1996). The Council of Graduate Schools, UMI and Virginia Tech joined and invited ten other universities to discuss the feasibility of ETD activities in the US and Canada (ETD Guide, 1987-2007). As a follow up to this meeting, UMI and Virginia Tech visited Adobe to discuss their plans in developing Portable Document Format (PDF) (Fox, et al., 1996).
1993	Southeastern Universities Research Association (SURA) and Southeastern Libraries Network (SOLINET) worked jointly on the Monticello Electronic Library (a virtual library for SURA) (McCoy, 1997; Fox, et al., 1996). Virginia Tech began to test PDF manuscript formats.
1994	Virginia Tech was the first university in the world to test full-text, open access ETDs uploads for the Web (Hagen, ETD 2009 Symposium on ETD, 2009).
1995	Virginia Tech wrote the pre-proposal for the U.S. Department of Education regarding the creation of the Networked Digital Library of Theses and Dissertations (NDLTD) and “requested that SURA fund initial work on establishing a part of the Monticello Electronic Library for ETDs for the Southeast” (Fox, et al., 1996).
1996	Virginia Tech led initiative to broaden ETD university initiatives in the Southeastern U.S. This was funded by Southeastern Universities Research Association--SURA (DL Curriculum Project, 2001).
1996	U.S. Department of Education funded a three-year program to educate higher education institutions about full-text, open-access theses or dissertations. This project encouraged U.S. higher education institutions to adopt mandatory ETD university programs (Fox in UNESCO, 2001).
1997	Virginia Tech was the first to require <i>mandatory</i> submission of full-text, open-access ETDs (McMillan, April 2009).
1997	Networked Digital Library of Theses and Dissertations (NDLTD) led by Virginia Tech was created to share best practices and to increase

	knowledge and growth of ETD initiatives worldwide (MacColl, 2004). The NDLTD provides automated library repository services free-of-charge with the assistance of VTLS, Inc. (www.vtls.com). (The central repository for the NDLTD can be found at www.theses.org .)
1998	West Virginia University began the second U.S. mandatory full-text, open-access ETD university program (Hagen, April 2009).
1999	United Nations Educational, Scientific, and Cultural Organization (UNESCO) funded a collaborative effort with Virginia Tech and University of Montreal to build an International Guide for the Creation of Electronic Theses and Dissertations (http://etdguide.org) and to encourage worldwide ETD growth (NDLTD, ETD Guide, 2001)
By 2001	University of North Texas, East Tennessee State University, University of Texas at Austin, and University of South Florida, and University of Texas at Austin all began ETD programs (Edminster and Moxley, 2002). Massachusetts Institute of Technology was scanning full-text new and old theses and dissertations into open-access and six other universities had individual department requiring full-text, open-access theses or dissertations to be filed (Moxley, 2001).
2001	Ohio Department of Education began the first statewide ETD repository, called the OhioLINK ETD Center, for Ohio universities to deposit open access theses and dissertations. Currently 13 of 14 public higher education institutions in Ohio submit theses and dissertations to this repository and more than 20,000 theses and dissertations reside in this repository. Twenty-five universities worldwide were filing ETDs (18 were from the U.S.) (Moxley and Weisser, 2002).
By 2002	Twenty-three countries partner with the NDLTD including: “India, Brazil, Australia, Brazil, Canada, China, Colombia, Germany, Greece, Hong Kong, India, Italy, Mexico, Netherlands, Norway, Russia, Singapore, South Africa, South Korea, Spain, Sudan, Sweden, Taiwan, the U.S., and the United Kingdom” (Moxley and Weisser, 2002, p. 51). In other countries, ETD growth has occurred by country instead of by individual university, because 90% of universities in other countries are governmental entities, unlike U.S. educational institutions that lack a connection to federal government because educational institutions are state operated (NDLTD Steering Committee Meeting, September 15, 2000). “At least 11 of the registered NDLTD members required mandatory submission of ETDs” (Moxley and Weisser, 2002, p. 51).
2002	India, Australia, Germany, France, and Canada were developing national standards for ETD program implementation (Edminster and Moxley, 2002). [Some international ETD databases include: International Francophone at www.cybertheses.org , German Dissertation Project at www.dissonline.org and Open Archives Initiative at www.openarchives.org (Dobratz in UNESCO, 2008).]

2003	The NDLTD membership tripled membership (from 59 in May 1999 to 176 in March 2003), 67 were U.S. universities, 86 were non-U.S. universities, and 23 were institutions/regional centers/organizations such as UNESCO; and in addition at least 11 NDLTD members had started mandatory submission for full-text, open-access ETDs (Fox, et al., 2003).
2004	NDLTD incorporates as a non-profit 501 c3 charitable organization and adopts dues-paying structure (Hagen, 2009).
2005	Twenty eight (28) universities in the U.S. were submitting full-text, open-access ETDs to online repositories.
2006	Ohio ETD Association was established by the direction of Angela McCutcheon of Ohio University and with the assistant of Deb Smith of Bowling Green State University and Tammy Oelkrug of Toledo University to increase the productivity of the graduate colleges and libraries processing full-text, open-access ETDs in Ohio (McCutcheon, 2006).
2009	The NDLTD list of worldwide universities paying dues to the NDLTD organization is around 120 and the total membership with other organizations is approximately 126 (see Appendix E).
2009	Ohio ETD Center has 22 universities in Ohio submitting full-text, open-access ETDs to its online repository. Currently, 93% (13 of the 14) public higher education institutions in Ohio file into the OhioLINK ETD Center repository (all except for Shawnee State University) (Dowling, Current OhioLINK ETD holding, 2009).
2009	The State of Texas established a statewide repository for full-text, open-access ETDs and the Texas ETD Association was established with the assistance of the Ohio ETD Association board member Angela McCutcheon (Hammons, 2009).
2009	The U.S. ETD Association (USETDA) was led by Angela McCutcheon of the Ohio ETD Association and was established with the assistance of Laura Hammons of Texas ETD Association and Karen Plummer of the University of Akron.

APPENDIX J: CHOOSING A CREATIVE COMMONS LICENSE

Choosing a Creative Commons License (Optional)

When you choose to append a creative commons license to your work, you keep your copyright, but allow others to copy and distribute your work, as long as they give you credit. A Creative Commons license is suggested if you would like to see wider distribution of your work. There are six main licenses that you may choose from when using a Creative Commons license.

Attribution: This is the most permissive of the licenses, and gives users the greatest flexibility. Users may distribute, remix, tweak and build upon your work as long as they credit you for the original creation. Commercial use is allowed.

Attribution Share Alike: This allows other to remix, tweak, distribute and build upon your work, as long as the user credits you and the licenses the new work under identical terms. Commercial use is allowed.

Attribution No Derivatives: This license allows for redistribution, commercial and noncommercial as long your work is passed along, unchanged, in whole and with credit to you.

Attribution Non-Commercial: This license allows others to remix, tweak, and build upon your work. The new work must be non-commercial and you must receive attribution.

Attribution Non-Commercial Share Alike: This license lets others remix, tweak and build upon your work non-commercially, as long as they credit you and license any new creations under identical creative commons terms.

Attribution Non-Commercial No Derivatives: This license is the most restrictive, and allows only non-commercial redistribution. This license is often called the “free advertising” license because it allows others to download your works and share them with others as long as they mention you and link back to you, but they can’t change them in any way or use them commercially. See <http://creativecommons.org/license/> for more about the various kinds of licenses. See <http://creativecommons.org/about/licenses> for more information and links to the license deeds and legal code. If you wish to choose a creative commons license and have this license appended as part of the institutional repository display, please indicate below which license you choose:

- Attribution
- Attribution share-alike
- Attribution no derivatives
- Attribution non-commercial
- Attribution non-commercial share alike or
- Attribution non-commercial no derivatives

Source: Catholic University of America (CUA). Retrieved on January 7, 2010, from <http://graduatestudies.cua.edu/res/docs/ETD-Submission-Copyright-Statement.pdf>

APPENDIX K: ETD UNIVERSITIES IDENTIFIED WITHIN THE U.S.
FEBRUARY 2010

One-hundred twelve (112) of these universities were identified as having a full-text ETD university repositories and 333 were found to file ETDs through the centralized ProQuest/UMI commercial repository in partial-text (traditional publishing) or full-text (open access).

ETD Programs in the United States Located through this Research	
Project	Web Site if Available
1 <u>Air Force Institute of Technology</u>	https://www.afresearch.org/skins/rims/home.aspx?
2 <u>Alfred University</u>	
3 <u>Angelo State</u>	
4 <u>Antioch University</u>	http://libguides.phd.antioch.edu/etdhome
5 <u>Appalachian State University</u>	http://graduate.appstate.edu/students/thesis-dissertation.html
6 <u>Arcadia University</u>	http://www.arcadia.edu/search/?cx=015729639928736355322%3Aw-ygyswwzvi&cof=FORID%3A10%3BNB%3A1&ie=UTF-8&q=thesis+guidelines&sa=Search#1036
7 <u>Arizona State University</u>	
8 <u>Arkansas State University</u>	http://www2.astate.edu/dotAsset/193781.pdf
9 <u>Ashland University</u>	http://libguides.ashland.edu/EdDresearch
10 <u>Auburn University</u>	http://www.grad.auburn.edu/etd_guide.html
11 <u>Azusa Pacific University</u>	yes, UMI
12 <u>Ball State University</u>	http://cms.bsu.edu/Academics/CollegesandDepartments/GradSchool/CompletingGraduateStudy/PaperProjectThesisorDissertation/ElectronicSubmissionGuidelines.aspx
13 <u>Baylor University</u>	http://www.baylor.edu/graduate/index.php?id=43425
14 <u>Binghamton University (SUNY) - Graduate School</u>	
15 <u>Boise State University</u>	http://www.boisestate.edu/gradcoll/forms/SGTD.pdf
16 <u>Boston College</u>	http://dcommon.bu.edu/xmlui/
17 <u>Boston University</u>	http://www.bc.edu/libraries/help/howdoi/etd.html
18 <u>Bowling Green State University</u>	http://www.bgsu.edu/colleges/gradcol/etd/index.html
19 <u>Brandeis University Heller school for social Policy and management</u>	http://heller.brandeis.edu/about/contact.html
20 <u>Brandeis University International Business School</u>	
21 <u>Brandeis University, Graduate School of Arts and Sciences</u>	http://www.brandeis.edu/gsas/completing/dissertation-guide.html
22 <u>Brigham Young University</u>	http://etd.byu.edu/
23 <u>Brown University</u>	http://gradschool.brown.edu/go/dissertation
24 <u>California Institute of Integral</u>	none, uploads to UMI

Studies

- 25 California Institute of Technology http://search.caltech.edu/search?q=thesis%20guidelines&site=Caltechweb&output=xml_no_dtd&client=Caltechweb&proxystylesheet=Caltechweb
- 26 California Polytechnic State University <http://www.rgp.calpoly.edu/thesis.html>
- 27 California Polytechnic State University [.http://www.lib.calpoly.edu/collections/theses/thesis_upload.pdf](http://www.lib.calpoly.edu/collections/theses/thesis_upload.pdf)
- 28 California State University, Sacramento <http://www.csus.edu/gradstudies/>
- 29 Cambridge College School of Education <http://www.cambridgecollege.edu/edleadership/files/all/Handbook-Dissertation-04-2009.pdf>
- 30 Capella University could not find one/sent an email
- 31 Case Western Reserve University [**http://www.case.edu/provost/gradstudies/etd/etd.html**](http://www.case.edu/provost/gradstudies/etd/etd.html)
- 32 Catholic University of America <http://graduatestudies.cua.edu/res/docs/Online-Dissertation-Submission-Process.pdf>
- 33 Cedarville University [**http://www.cedarville.edu/academics/graduate/**](http://www.cedarville.edu/academics/graduate/)
- 34 Clemson University [**http://etd.lib.clemson.edu/**](http://etd.lib.clemson.edu/)
- 35 Cleveland State University <http://www.csuohio.edu/gradcollege/students/thesis/thesis-iv.pdf>
- 36 College of Charleston, South Carolina The graduate School <http://www.etdadmin.com/cgi-bin/school?siteId=15>
- 37 College of St. Mary Graduate Studies http://www.csm.edu/Academics/Library/Institutional_Repository/
- 38 College of St. Scholastica not found
- 39 College of William and Mary <http://dspace.swem.wm.edu/handle/10288/1114>
- 40 Colorado State University <http://lib.colostate.edu/repository/etd/index.php>
- 41 Columbia University <http://digitalcommons.libraries.columbia.edu>
- 42 Corcoran College of Art and Design
- 43 Cornell University <http://www.gradschool.cornell.edu/index.php?p=13>
- 44 Cranfield University NA
- 45 Creighton University http://www.creighton.edu/fileadmin/user/GradSchool/pdf/Electronic_Thesis_Procedures.pdf
- 46 Dartmouth College <http://libcat.dartmouth.edu/search~S1/X?SEARCH=etd&submit=Search>
- 47 Drexel University idea.library.drexel.edu
- 48 Duquesne University <http://digital.library.duq.edu/cdm-etd/>
- 49 East Carolina University <http://www.ecu.edu/cs-acad/gradschool/etd-fqa.cfm>
- 50 East Tennessee State University <http://etd-submit.etsu.edu/>
- 51 Eastern Kentucky University
- 52 Eastern Michigan University <http://commons.emich.edu/theses/150/>
- 53 Edgewood College <http://library.edgewood.edu/help/dissertation-pub.htm>
- 54 Emory University <https://etd.library.emory.edu/>
- 55 Fielding Graduate University <http://web.fielding.edu/library/dissertations/>

56	Five Towns College	
57	<u>Florida Atlantic University</u>	http://www.fau.edu/graduate/pubs/FAU-ETD-submission_guidelines_MS2007_11_01_07.pdf
58	<u>Florida International University</u>	http://gradschool.fiu.edu/etd.html
59	<u>Florida State University</u>	http://www.gradschool.fsu.edu/Information-For/New-Current-Students/Theses-Treatises-and-Dissertations
60	<u>Fort Hays State University</u>	Starting Fall 2009 open access if student electives. No Web site presence.
61	Gardner-Webb University	http://www.gardner-webb.edu/library/databases.html
62	Garrett Evangelical Theological Seminary	
63	<u>George Mason University</u>	http://thesis.gmu.edu
64	George Washington University	
65	<u>Georgetown University</u>	http://digital.georgetown.edu/etd/index.cfm
66	Georgetown University Graduate School of Arts and Sciences	
67	<u>Georgia Institute of Technology</u>	http://www.gradadmiss.gatech.edu/thesis.php
68	<u>Georgia Institute of Technology</u>	http://etd.gatech.edu/
69	<u>Georgia Southern University</u>	http://academics.georgiasouthern.edu/etd/
70	Georgia State University	http://aysps.gsu.edu/253.html
71	Georgia Tech	
72	Gonzaga University	
73	Harvard Divinity School	
74	Hawai'i Pacific University	
75	<u>Houston Academy of Medicine-</u>	
76	<u>Houston Academy of Medicine-Texas Medical Center Library</u>	http://digitalcommons.library.tmc.edu
77	<u>Humboldt State University</u>	http://dscholar.humboldt.edu:8080/dspace/index.jsp
78	<u>Indiana State University</u>	http://www.etdadmin.com/cgi-bin/home
79	Indiana University	https://scholarworks.iu.edu/dspace
80	Indiana University Jacobs School of Music	
81	Indiana Wesleyan University	
82	Institute of Transpersonal Psychology	
83	<u>Iowa State University</u>	http://www.grad-college.iastate.edu/thesis/homepage.html
84	Irell and Manella Graduate School of Biological Sciences	
85	<u>IUPUI</u>	https://scholarworks.iupui.edu/handle/1805/199
86	Johnson and Wales University	
87	<u>Kansas State University</u>	http://www.k-state.edu/grad/etdr/
88	<u>Kent State University</u>	http://www.library.kent.edu/page/10013
89	<u>Kutztown University of</u>	none/umi traditional for theses and diss

	<u>Pennsylvania</u>	
90	Lawrence Technological University	
91	Lehigh University	UMI traditional for theses and dissertations
92	<u>Lesley University</u>	
93	Liberty University	
94	Lindenwood University	
95	Louisiana State University	
96	<u>Louisiana State University and A & M College</u>	http://etd.lsu.edu/
97	<u>Louisiana State University Health Sciences Center</u>	UMI, submitted by individual school
98	<u>Loyola Marymount University</u>	http://library.lmu.edu/Library_Policies/Thesis_Binding.htm
99	<u>Loyola University of Chicago</u>	http://www.luc.edu/gradschool/formatting.shtml
100	<u>Marquette University</u>	http://www.marquette.edu/grad/etd.shtml
101	<u>Marshall University</u>	http://www.marshall.edu/graduate/etd/default.asp
102	Massachusetts Institute of Technology	http://dspace.mit.edu
103	<u>Medical College of Wisconsin</u>	UMI only/no Web site
104	MGH Institute of Health Professions	
105	<u>Miami University</u>	http://www.lib.muohio.edu/theses
106	Michigan State University	
107	<u>Michigan Technological University</u>	http://www.mtu.edu/gradschool/administration/academic_s/thesis-dissertation/
108	Mills College	
109	<u>Montana State University</u>	http://etd.lib.montana.edu/etd/view/
110	<u>Morgan State University</u>	yes, they have a program with UMI, but no Web presence
111	Mount Sinai School of Medicine of New York University	
112	Mountain State University	
113	National-Louis University	
114	<u>Naval Postgraduate School</u>	http://www.nps.edu/Research/research1.html
115	<u>New Jersey Institute of Technology</u>	http://library.njit.edu/etd/
116	<u>New Mexico State University</u>	http://gradschool.nmsu.edu/Guidelines/
117	New School University	
118	<u>New York University</u>	UMI
119	North Carolina State University	
120	<u>North Dakota State University</u>	http://www.ndsu.edu/gradschool/current_students/dissertations_theses_and_papers/
121	<u>Northeastern Illinois University</u>	www.grad.niu.edu/
122	<u>Northeastern University</u>	
123	<u>Northern Arizona University</u>	http://home.nau.edu/gradcol/thesis.asp

- 124 Northern Illinois University <http://www.grad.niu.edu/grad/>
- 125 Northern Kentucky University <http://www.nku.edu/~gradprog/docs/thesis%2520format.pdf>
- 126 Northern Michigan University <http://voyager.nmu.edu/vwebv/search?page.search.search.button=Search&searchArg1=NMU+ProQuest+thesis&argType1=all&searchCode1=GKEY&combine2=and&searchArg2=&argType2=all&searchCode2=GKEY&combine3=and&searchArg3=&argType3=all&searchCode3=GKEY&year=2008-2009&fromYear=&toYear=&location=NMU+Olson+Library&place=all&type=all&status=all&medium=all&language=all&recCount=50&searchType=2>
- 127 Northwestern University http://www.tgs.northwestern.edu/docs/guidelines_for_students.pdf
- 128 Notre Dame College, OH
- 129 Nova Southeastern University - H
Wayne Huizenga School of
Business and Entrepreneurship
- 130 Nova Southeastern University UMI, individual programs, access by college only
- 131 Nova Southeastern University -
Heath Professions Division
- 132 Nova Southeastern University -
Center for Psychological Studies
- 133 Nyack School of Business and
Leadership
- 134 Oakland University UMI
- 135 Ohio University www.ohio.edu/etd
- 136 Oklahoma State University <http://gradcollege.okstate.edu/student/thesis/default.html>
- 137 Old Dominion University http://sci.odu.edu/sci/about/information/thesis/Thesis_Preparation.shtml
- 138 Oregon Health and Science
University Library
- 139 Oregon State University http://oregonstate.edu/dept/grad_school/current/thesisfaq.html#archived
- 140 Pace University <http://digitalcommons.pace.edu/dissertations/>
- 141 Pepperdine University - Seaver
College
- 142 Polytechnic Institute of NYU
- 143 Portland State University http://www.gsr.pdx.edu/ogs_ETD.php
- 144 Prescott College - ADGP
- 145 Purdue University www.gradschool.purdue.edu/thesis.cfm
- 146 Regent University <http://www.regent.edu/lib/services/theses-dissertations.cfm>
- 147 Rensselaer Polytechnic Institute <http://library.rpi.edu/update.do?artcenterkey=1520>
- 148 Rhodes University

- 149 Rice University <http://scholarship.rice.edu/handle/1911/13110>
- 150 Rochester Institute of Technology <http://library.rit.edu/services/graduate-student-support.html>
- 151 Roosevelt University <http://www.roosevelt.edu/gradstudents/ThesesandDissertationGuidelines.htm>
- 152 Rosalind Franklin University of Medicine and Science
- 153 Rowan University Graduate School
- 154 Rutgers - New Brunswick <https://etd.libraries.rutgers.edu/login.php>
- 155 Saint Louis University http://www.slu.edu/graduate/catalog/gr_req.pdf;
<http://www.slu.edu/graduate/catalog.html>
- 156 Saint Mary's College of California <http://www.stmarys-ca.edu/academics/schools/school-of-liberal-arts/graduate-degree-programs.html>;
http://www.stmarys-ca.edu/academics/graduate-studies/handbook/docs/grad_handbook_complete.pdf
- 157 Saint Mary's University of Minnesota - Graduate School of Education
- 158 Sam Houston State University http://www.shsu.edu/~grs_www/current/thesisdissertationtimeline.html;
<http://library.shsu.edu/research/thesis/ThesisDirections.pdf>
- 159 San Diego State University <http://gra.sdsu.edu/grad/thesisreview/dtrmain.html>
- 160 San Jose State University http://www.sjsu.edu/gradstudies/docs/thesis_guidelines.pdf
- 161 Santa Clara University <http://www.scu.edu/library/info/policies/thesis.cfm>
- 162 Saybrook Graduate School
- 163 Seattle Pacific University
- 164 Seton Hall University <http://library.shu.edu/disslist.htm>
- 165 Simmons College http://my.simmons.edu/library/collections/college_archives/forms/Thesis_Guidelines.pdf
- 166 Simon Fraser University <http://theses.lib.sfu.ca/>
- 167 South Dakota School of Mines & Technology <http://resources.sdsmt.edu/forms/grad-ed/thesis-and-dissertation-instructions.pdf>
- 168 South Dakota State University <http://www3.sdstate.edu/Academics/GraduateSchool/ThesisDissertationSubmittal/>
- 169 Southeast Missouri State University <http://www.semo.edu/gradschool/>
- 170 Southeastern Louisiana University http://www.selu.edu/acad_research/programs/grad_school/graduate_studies/assets/Thesis_Dissertation3.pdf
- 171 Southern Connecticut State University http://www.southernct.edu/grad/uploads/textWidget/wysiwyg/documents/REVISED_THESIS_GUIDELINES_12-08-08.pdf;
http://www.southernct.edu/grad/uploads/textWidget/wysiwyg/documents/EdD_policy_guidelines_and_forms_Sept_20061_2_.pdf

- 172 Southern Ill. U. Carbondale >http://opensiuc.lib.siu.edu/morris_opensiuc/
- 173 Southern Illinois University Carbondale <http://www.gradschool.siu.edu/dtrguide.htm>
- 174 Southern Illinois University Edwardsville <http://www.siu.edu/graduate/current/pdf/ThesisGuidelines2008.doc>
- 175 Southern Methodist University <http://smu.edu/graduate/thesis.asp>
- 176 Southern University A & M College <http://www.subr.edu/gradschool/gradcatalog.pdf>
- 177 Spalding University <http://www.spalding.edu/catalog/>
- 178 St. John's University <http://www.stjohns.edu/download.axd/b72df9cbb1ce478faf894e99cb1b9565.pdf?d=Doctoral%20Dissertation%20Procedures>
- 179 St. Mary's College of California <http://www.stmarys-ca.edu/tech-services/contact-us.html#form>
- 180 St. Mary's Seminary and University
- 181 St. Mary's University of San Antonio - Graduate School
- 182 Stanford University <http://www.stanford.edu/dept/registrar/bulletin/current/pdf/graduatedegrees.pdf;>
<http://library.stanford.edu/depts/ssrg/econ/dissertations.html#Section1>
- 183 State University of New York at Binghamton <http://www2.binghamton.edu/grad-school/new-and-current-students/academics/about-elec-theses-disser.html>
- 184 Stevens Institute of Technology <http://www.stevens.edu/gradacademics/handbook/masters.html;>
<http://www.stevens.edu/gradacademics/handbook/doctoral.html;>
<http://www.stevens.edu/library/services/thesis.html>
- 185 Stony Brook University <http://www.grad.sunysb.edu/academics/t&d.shtml>
- 186 SUNY College of Environmental Science and Forestry <http://www.esf.edu/graduate/graddegre.htm>
- 187 Syracuse University <http://gradsch.syr.edu/pdfs/FormatGuidelines.pdf>
- 188 Temple University <http://library.temple.edu/digitalcollections/etd.jsp?bhcp=1>
- 189 Tennessee State University <http://www.tnstate.edu/interior.asp?mid=2813>
- 190 Tennessee Technological University <https://www.tntech.edu/images/stories/gcat/manual.pdf>
- 191 Texas A & M University <http://thesis.tamu.edu/submittal-process>
- 192 Texas A & M University - Commerce <http://www.tamu-commerce.edu/gradschool/forms/thesisguide.pdf;>
<http://web.tamu-commerce.edu/academics/graduateSchool/documents/collegeEducationThesisDissertation.pdf>
- 193 Texas A&M University - Corpus Christi
- 194 Texas A&M University at Galveston <http://www.tamug.edu/catalog/Cat131PDFs/2008-2009Catalog131.pdf>

- 195 Texas A&M University System
Health Science Center; School of
Rural Public Health
- 196 [Texas Christian University](http://lib.tcu.edu/NDLTD/)
- 197 [Texas Medical Center Library](http://www.graduateschool.utsa.edu/current_students/detail/masters_thesis_recital_document_or_doctoral_dissertation/)
- 198 [Texas Southern University](http://www.tsu.edu/pdffiles/academics/graduate/handbook.pdf?hcl_noupdate=true&hcl_time=1096319103533)
- 199 [Texas State University](http://ecommons.txstate.edu)
- 200 [Texas State University - San
Marcos](http://ecommons.txstate.edu/dissertations/)
- 201 [Texas Tech University](http://etd.lib.ttu.edu/ETD-db/ETD-browse/browse?first_letter=all)
- 202 [Texas Woman's University](https://www.twu.edu/gradschool/downloads/graduate-school/guidelines(2).doc)
- 203 [The Catholic University of America](http://graduatestudies.cua.edu/res/docs/Doctoral-Dissertation-Handbook-rev-20091.pdf)
[http://graduatestudies.cua.edu/res/docs/currentstudents/
mastersthesis.pdf](http://graduatestudies.cua.edu/res/docs/currentstudents/mastersthesis.pdf)
- 204 [The Chicago School of Professional
Psychology](http://www.thechicagoschool.edu/resources/content/1/8/0/7/documents/bus_psyd_dissertation_manual07.pdf)
[http://www.thechicagoschool.edu/resources/faculty/pdf/T
hesis-Handbook-2007-08.pdf](http://www.thechicagoschool.edu/resources/faculty/pdf/Thesis-Handbook-2007-08.pdf)
- 205 [The Claremont Graduate
University](http://www.cgu.edu/pages/1239.asp)
http://www.cgu.edu/include/Prep_Theses.pdf
- 206 [The George Washington University](http://www.gwu.edu/~etds/)
- 207 [The Johns Hopkins University](https://jscholarship.library.jhu.edu/handle/1774.2/836)
- 208 [The Ohio State University](http://etd.ohiolink.edu/)
- 209 [The Pennsylvania State University](http://etda.libraries.psu.edu/)
- 210 [The Rockefeller University](http://dspace.rockefeller.edu/)
- 211 [The University at Albany, State
University of New York](http://www.albany.edu/gradstudies/degreecomp/d2.shtml)
- 212 [The University at Buffalo, SUNY](http://www.grad.buffalo.edu/etd/index.php)
- 213 [The University of Alabama at
Birmingham](http://main.uab.edu/Sites/gradschool/students/current/theses/)
- 214 [The University of Chicago](http://www.lib.uchicago.edu/e/phd/etd.html)
<http://www.lib.uchicago.edu/e/phd/>
- 215 [The University of Iowa](http://ir.uiowa.edu/etd/)
- 216 [The University of Kansas](http://kusolarworks.ku.edu/dspace/handle/1808/1260)
- 217 [The University of Montana](http://www.montana.edu/etd/)
- 218 [The University of Northern Iowa](http://www.grad.uni.edu/thesis)
- 219 [The University of Oklahoma - Tulsa](http://gradweb.ou.edu/Current/)
- 220 [The University of Rochester](http://www.rochester.edu/Theses/ThesesManual.pdf)
- 221 [The University of Tennessee at
Chattanooga](http://www.utc.edu/Administration/GraduateSchool/documents/ETDforUTC4-24-08.pdf)

- 222 The University of Tennessee Health Science Center <http://etd.utmem.edu/>
- 223 The University of Tennessee, Knoxville <http://web.utk.edu/~thesis/>
- 224 The University of Texas - Pan American http://portal.utpa.edu/utpa_main/daa_home/ogs_home_new/Current_Students/adm_gthesis
- 225 The University of Texas at Arlington <http://grad.uta.edu/students/services/thesis/>
- 226 The University of Texas at Austin <http://www.utexas.edu/ogs/etd/>
- 227 The University of Texas at Dallas <http://www.utdallas.edu/dept/graddean/dgFront.htm>
- 228 The University of Texas at El Paso www.utep.edu/graduate
- 229 The University of Texas at Tyler <http://www.uttyler.edu/graduate/gradhbk.pdf>
- 230 The University of Texas Grad School of Biomedical Sci at Houston <http://www.uth.tmc.edu/gsbs/gradguide/thesis.html>
- 231 The University of Texas Medical Branch at Galveston http://graduatecollege.unlv.edu/PDF_Docs/t&dmanual.pdf
(formatting instructions);
- 232 The University of Toledo etdgrad@UTNet.UToledo.Edu
- 233 The University of Tulsa <http://www.utulsa.edu/~media/Files/bulletins/Graduate%20Bulletin%202008-2010.ashx>
- 234 Thomas Jefferson University <http://jdc.jefferson.edu/etd/>
- 235 Towson University <http://grad.towson.edu/academic/files/Guidelines.pdf>
- 236 Trevecca Nazarene University
- 237 Trinity University San Antonio <http://lib.trinity.edu/>
- 238 Truman State University <http://gradstudies.truman.edu/gradresources.asp>
- 239 Tufts University (The Fletcher School of Law and Diplomacy)
- 240 Tufts University http://www.tufts.edu/gradstudy/webcm/docs/graduate_student_handbook.pdf
- 241 Tufts University - Friedman School of Nutrition Science and Policy
- 242 Tufts University (Graduate and Professional Studies)
- 243 Tufts University School of Dental Medicine
- 244 Tufts University - Sackler School of Graduate Biomedical Sciences
- 245 Tulane University http://www.eng.tulane.edu/pdfs/guidelines_theses_dissertations.pdf
- 246 Union Institute and University - Master of Arts Program
- 247 University at Albany, SUNY
- 248 University of Alabama Graduate School
- 249 University of Akron <http://www.uakron.edu/gradsch/gdlnThesDiss.php>
- 250 University of Alabama at Birmingham

- 251 University of Alaska Anchorage <http://www.uaa.alaska.edu/graduateschool/thesis.cfm>
- 252 University of Alaska Fairbanks http://www.uaf.edu/catalog/catalog_09-10/graduate/index.html;
http://www.uaf.edu/catalog/current/graduate/grad2.html#Doctor_of_Philosophy
- 253 University of Arizona <http://etd.library.arizona.edu/etd/index.jsp>
- 254 University of Arkansas <http://digital.library.unt.edu/browse/department/general/etd/?q=UNTETD&t=collection&system=DC&start=1038&pageSize=10&sort=title&view=list&PHPSESSID=6286cad5098d85dbedee8fc56600c36>
- 255 University of Arkansas at Little Rock <http://ualr.edu/gradschool/assets/archive/pdfs/thesisguide.pdf>
- 256 University of Bridgeport <https://www.bridgeport.edu/pages/5392.asp>;
<https://www.bridgeport.edu/pages/5486.asp>
- 257 University of California, Berkeley <http://www.grad.berkeley.edu/policies/pdf/disguide.pdf>
- 258 University of California, Davis <http://www.gradstudies.ucdavis.edu/students/electronicfil inginstructions.html>
- 259 University of California, Irvine http://www.lib.uci.edu/libraries/collections/special/uci_td /td1.html
- 260 University of California, Los Angeles <http://www.gdnet.ucla.edu/gasaa/library/thesis.pdf>
- 261 University of California, Riverside <http://www.graduate.ucr.edu/Dissertation.html>
- 262 University of California, San Diego http://ogs.ucsd.edu/AcademicAffairs/Documents/Dissertations_Theses_Formatting_Manual.pdf
- 263 University of California, San Francisco <http://graduate.ucsf.edu/sites/default/files/TDMGuidelines.pdf>
- 264 University of California, Santa Barbara <http://www.graddiv.ucsb.edu/academic/>
- 265 University of California, Santa Cruz http://www.graddiv.ucsc.edu/student_affairs/pdf_student_affairs/Diss_Guidelines2009.pdf
- 266 University of Central Arkansas <http://www.uca.edu/graduateschool/thesis/dissertation/Thesisdissertation.php>
- 267 University of Central Florida <http://www.students.graduate.ucf.edu/sitemap/index.cfm?RsrcID=55&SubCatID=144>
- 268 University of Central Missouri http://www.ucmo.edu/graduate/current/documents/thesismanual08_09.doc
- 269 University of Central Oklahoma - Jackson College of Graduate Studies and Research
- 270 University of Charleston, South Carolina <http://gradschool.cofc.edu/currentstudents/academicpolicies/ThesisManual.pdf>
- 271 University of Chicago
- 272 University of Cincinnati <http://www.etd.uc.edu/>
- 273 University of Colorado at Boulder http://www.colorado.edu/GraduateSchool/academics/thesis_sub.html

- 274 University of Colorado Denver [http://www.cudenver.edu/SiteCollectionDocuments/Grad%20School/pdfs/Contents%20and%20Guidelines%20for%20Thesis%20Preparation%20\(rev%204_06\).pdf](http://www.cudenver.edu/SiteCollectionDocuments/Grad%20School/pdfs/Contents%20and%20Guidelines%20for%20Thesis%20Preparation%20(rev%204_06).pdf)
- 275 University of Connecticut <http://grad.uconn.edu/forms.html>; see also <http://digitalcommons.uconn.edu/cgi/viewcontent.cgi?article=1005&context=dcuconn>
- 276 University of Dayton <http://gradschool.udayton.edu/external.asp?URL=http%3A//gradschool.udayton.edu/initiative/guidelines.pdf>
- 277 University of Delaware <http://www.udel.edu/gradoffice/polproc/>
- 278 University of Denver <http://www.du.edu/con-res/documents/SubmittingThesisViaETDAdministrator.pdf>
- 279 University of Florida <http://www.uflib.ufl.edu/etd.html>
- 280 University of Georgia http://dbs.galib.uga.edu/cgi-bin/ultimate.cgi?dbs=getd&userid=galileo&action=search&_cc=1
- 281 University of Hartford <http://www.hartford.edu/graduate/>; see example at <http://library.hartford.edu/services/electronicsub.asp>; <http://library.hartford.edu/services/gradthesis.asp>
- 282 University of Hawaii at Manoa <https://scholarspace.manoa.hawaii.edu/>
- 283 University of Houston <http://www.nsm.uh.edu/academics/graduate/thesis-guidelines/index.php>
- 284 University of Houston-Clear Lake <http://prt1.uhcl.edu/portal/page/portal/LIB/HOME/thesisguide/THESIS%20FORMATTING%20GUIDE.PDF>
- 285 University of Idaho <http://www.grad.uidaho.edu/documents/thesis%20handbook2008-2009.pdf?pid=113542&doc=1>
- 286 University of Illinois at Chicago <http://grad.uic.edu/cms/?pid=1000027>
- 287 University of Illinois at Springfield http://www.uis.edu/graduateeducation/students/documents/UISDissertation_GuidelinesFNL30209.doc
- 288 University of Illinois at Urbana-Champaign www.grad.illinois.edu/thesis-dissertation
- 289 University of Iowa Graduate College
- 290 University of Kansas
- 291 University of Kentucky <http://archive.uky.edu/handle/10225/2>
- 292 University of Louisiana at Lafayette <http://gradschool.louisiana.edu/GR-Guide-Theses-Dissertations.pdf>
- 293 University of Louisville <https://graduate.louisville.edu/pubs/theses-dissertations/dissertation.pdf>
- 294 University of Maine <http://www.library.umaine.edu/theses/index.htm>
- 295 University of Maine
- 296 University of Maryland, Baltimore <http://www.lib.umd.edu/drum/>
- 297 University of Maryland, College Park <http://www.lib.umd.edu/drum/>
- 298 University of Maryland, Eastern Shore <http://www.umes.edu/WorkArea/showcontent.aspx?id=23042>
- 299 University of Maryland, University College <http://www.umuc.edu/programs/grad/dm/>

300	<u>University of Massachusetts - Worcester</u>	http://escholarship.umassmed.edu/
301	<u>University of Massachusetts Amherst</u>	http://www.umass.edu/gradschool/thesis/TDindex.html
302	<u>University of Massachusetts Boston</u>	http://umb.edu/academics/graduate/documents/dissertation_standards_hyperlinked.pdf
303	<u>University of Medicine & Dentistry of New Jersey</u>	http://sphweb02.umdni.edu/sphweb/files/general/sph.catalog.06.appendix.V.pdf
304	<u>University of Memphis</u>	http://etd.memphis.edu/etd_display.php
305	<u>University of Miami</u>	http://etd.library.miami.edu/
306	<u>University of Michigan</u>	http://www.rackham.umich.edu/doctorsal_students/
307	<u>University of Minnesota</u>	http://www.grad.umn.edu/current_students/degree_completion/doctoral/ElectronicDissertationSubmission.html
308	<u>University of Mississippi</u>	http://www.olemiss.edu/gradschool/thesis_and_dissertation.php
309	<u>University of Missouri, Columbia</u>	http://edt.missouri.edu/search.php
310	<u>University of Missouri, Kansas City</u>	http://sgs.umkc.edu/
311	<u>University of Missouri, Kansas City</u>	http://sgs.umkc.edu/guidelin/index.asp
312	<u>University of Missouri, Kansas City</u>	http://sgs.umkc.edu/
313	<u>University of Missouri-St. Louis</u>	http://etd.umsl.edu
314	<u>University of Montana</u>	
315	<u>University of Nebraska at Omaha</u>	http://www.etdadmin.com/cgi-bin/school?siteId=82%20%28dissertation%29
316	<u>University of Nebraska-Lincoln</u>	http://digitalcommons.unl.edu/
317	<u>University of Nevada, Reno</u>	http://www.unr.edu/grad/forms/docs/9Dissertation%20and%20Thesis%20Format%20Instructionsrev09.pdf
318	<u>University of Nevada-Las Vegas</u>	http://proquest.umi.com/login?COPT=REJTPTU00TYmSU5UPTAmVkvSPTI=&clientId=17675
319	<u>University of New Brunswick</u>	www.unb.ca/etd
320	<u>University of New Hampshire</u>	http://www.gradschool.unh.edu/research.html
321	<u>University of New Haven</u>	http://www.newhaven.edu/library/Guides/StyleGuides/StyleSheet/
322	<u>University of New Mexico</u>	https://repository.unm.edu/dspace/
323	<u>University of New Mexico - Albuquerque</u>	
324	<u>University of New Orleans</u>	http://louisdl.louislibraries.org/index.php?name=University%20of%20New%20Orleans%20Electronic%20Theses%20and%20Dissertations
325	<u>University of North Carolina at Chapel Hill School of Journalism</u>	
326	<u>University of North Carolina at Charlotte</u>	http://www.uncc.edu/gradmiss/ETD/xetdframeset.htm
327	<u>University of North Carolina at Greensboro</u>	http://graduateschool.uncc.edu/overview.html
328	<u>University of North Carolina at Pembroke</u>	http://libres.unccg.edu/ir/

- 329 University of North Dakota http://uncw.edu/grad_info/ETDmanual.htm
- 330 University of North Texas <http://digital.library.unt.edu/browse/department/general/etd/>
- 331 University of North Texas Health Science Center at Fort Worth <http://www.hsc.unt.edu/education/gsbs/documents/PREPARATION%20AND%20FILING%20OF%20DISSERTATIONS.pdf>
- 332 University of North Texas Health Science Center at Fort Worth - School of Public health
- 333 University of Northern Colorado <http://adr.coalliance.org/cogru/fez/>
- 334 University of Notre Dame <http://etd.nd.edu/>
- 335 University of Oklahoma <http://www.ou.edu/cas/slis/NewSite/PDFs/Thesis%20Guidelines.pdf>
- 336 University of Oregon <https://scholarsbank.uoregon.edu/xmlui/>
- 337 University of Pennsylvania http://www.upenn.edu/provost/dissertation_manual
- 338 University of Pittsburgh <http://etd.library.pitt.edu/ETD-db/ETD-search/search>
- 339 University of Puerto Rico, Rio Piedras Campus http://graduados.uprrp.edu/asuntos_estudiantiles/procedimiento_umi.html
- 340 University of Rhode Island <http://digitalcommons.uri.edu/about.html>
- 341 University of Saint Thomas <http://www.stthomas.edu/libraries/gradstudents/thesesprep.html>
- 342 University of San Diego http://www.sandiego.edu/soles/documents/dissertation_format_manual.pdf
- 343 University of Scranton http://academic.scranton.edu/faculty/CAB302/graduate_program/thesis_info.html
- 344 University of South Alabama <http://www.southalabama.edu/graduateprograms/ThesisDissertationGuide.pdf>
- 345 University of South Carolina <http://www.gradschool.sc.edu/thesisdissertation/index.htm>
- 346 University of South Dakota <http://www.usd.edu/graduate-school/student-resources.cfm>
- 347 University of South Florida <http://www.grad.usf.edu/thesis.asp>
- 348 University of Southern California http://www.usc.edu/schools/GraduateSchool/current_thesis_dissert.html
- 349 University of Southern Maine http://www.usm.maine.edu/cehd/School-Psychology/files/PsyD_Dissertation_Guidelines_09.pdf; <http://www.usm.maine.edu/grad/resources/thesis.htm>
- 350 University of Southern Mississippi <http://www.usm.edu/graduateschool/gradcouncil/GuidelinePrintable.pdf>
- 351 University of Tennessee at Chattanooga Graduate School
- 352 University of Tennessee Health Science Center - College of Graduate Health Sciences
- 353 University of Texas at Arlington, Graduate School
- 354 University of Texas at Austin, Graduate School

- 355 University of Texas at El Paso,
Graduate School
- 356 University of Texas at San Antonio
- The Graduate School
- 357 University of Texas Grad School of
Biomedical Sci at Galveston <http://ar.utmb.edu/ARXForms/library/ircolsearchdbs.asp?SearchType=subject&SearchValue=Dissertations%2FTheses>
- 358 University of Texas Health Science
Center - Graduate School of
Biomedical Sciences
- 359 University of Texas Health Science
Center at San Antonio <http://www.library.uthscsa.edu/publications/reports/2007-2008Annual.pdf>
- 360 University of Texas of Dallas
- 361 University of Texas, School of
Health Information Sciences at
Houston
- 362 University of Texas, School of
Public Health at Houston
- 363 University of the Pacific http://web.pacific.edu/Documents/school-graduate/acrobat/Thesis_guidelines_v6.2Edit.pdf
- 364 University of The Rockies
- 365 University of the Sciences in
Philadelphia <http://www.gradschool.usp.edu/pdf/handbooks/Gradinfo.pdf>
- 366 University of Toledo <http://gradschool.utoledo.edu>
- 367 University of Toledo - Health
Science Campus <http://etd.ohiolink.edu/>
- 368 University of Utah <http://uspace.utah.edu/index.php>
- 369 University of Vermont <http://www.uvm.edu/~gradcoll/forms/guidelines.pdf>
- 370 University of Virginia <http://www.lib.virginia.edu/etd/>
- 371 University of Washington <https://digital.lib.washington.edu/dspace/community-list>
- 372 University of West Florida <http://www.uwf.edu/graduate/t&d-info.shtml>
- 373 University of West Georgia <http://www.westga.edu/~gradsch/gradforms.php>
- 374 University of Wisconsin - La Crosse <http://minds.wisconsin.edu/handle/1793/81>
- 375 University of Wisconsin - River
Falls <http://minds.wisconsin.edu/handle/1793/209>
- 376 University of Wisconsin-Madison <http://www.grad.wisc.edu/education/completedegree/pguide.html>
- 377 University of Wisconsin-
Milwaukee <http://www.graduateschool.uwm.edu/students/current/thesis-and-dissertation-formatting/>
- 378 University of Wyoming <http://www.uwyo.edu/uwgradsupport/docs/forms/ThesDisFormatGuide.pdf>
- 379 Utah State University <http://digitalcommons.usu.edu/etd/>
- 380 Vanderbilt University <http://www.vanderbilt.edu/gradschool>
- 381 Villanova University <http://www.etdadmin.com/cgi-bin/school?siteId=99> ;
<http://www.villanova.edu/artsci/college/academics/graduate/policies/thesis/>
- 382 Villanova University - College of

Nursing

- 383 [Virginia Commonwealth University](http://www.graduate.vcu.edu/community/thesis.html) <http://www.graduate.vcu.edu/community/thesis.html>
- 384 [Virginia Tech](http://etd.vt.edu) <http://etd.vt.edu>
- 385 [Washington State University](http://www.dissertations.wsu.edu/p&pforddt.htm) <http://www.dissertations.wsu.edu/p&pforddt.htm>
- 386 [Washington University](http://library.wustl.edu/services/thesisguidelines.html) <http://library.wustl.edu/services/thesisguidelines.html>;
<http://www.etdadmin.com/cgi-bin/school?siteId=230>
- 387 Washington University in St. Louis
- 388 [Wayne State University](http://digitalcommons.wayne.edu/dissertations/) <http://digitalcommons.wayne.edu/dissertations/>
- 389 [West Chester University](http://www.wcupa.edu/ADMISSIONS/SCH_DGR/documents/thesisguide.pdf) www.wcupa.edu/ADMISSIONS/SCH_DGR/documents/thesisguide.pdf
- 390 [West Virginia University](http://www.libraries.wvu.edu/theses/index.htm) <http://www.libraries.wvu.edu/theses/index.htm>
- 391 [Western Carolina University](http://www.wcu.edu/WebFiles/PDFs/Thesis_Guide_5th_edition_online_version.doc) www.wcu.edu/WebFiles/PDFs/Thesis_Guide_5th_edition_online_version.doc ; <http://www.etdadmin.com/cgi-bin/school?siteId=149>
- 392 [Western Illinois University](http://www.etdadmin.com/wnil) <http://www.etdadmin.com/wnil>
- 393 [Western Kentucky University](http://digitalcommons.wku.edu) digitalcommons.wku.edu
- 394 [Western Michigan University](http://www.wmich.edu/grad/dissertation_thesis_process.html) http://www.wmich.edu/grad/dissertation_thesis_process.html
- 395 [Wichita State University](http://webs.wichita.edu/?u=GRADSCHOOL&p=/DegreeCompletion/ThesisPreparation/) <http://webs.wichita.edu/?u=GRADSCHOOL&p=/DegreeCompletion/ThesisPreparation/>
- 396 [William Paterson University](http://www.winthrop.edu/graduateschool/default.aspx?id=3305) <http://www.winthrop.edu/graduateschool/default.aspx?id=3305>
- 397 [Winthrop University](http://www.winthrop.edu/graduateschool/default.aspx?id=3305) <http://www.winthrop.edu/graduateschool/default.aspx?id=3305> [coe.winthrop.edu/COE/health-PE/MShped/Thesisprepjuly06.doc](http://www.winthrop.edu/COE/health-PE/MShped/Thesisprepjuly06.doc)
- 398 [Wittenburg University](https://darchive.mblwhoilibrary.org/) <https://darchive.mblwhoilibrary.org/>
- 399 [Woods Hole Oceanographic Institution](http://www.wpi.edu/Pubs/ETD/faq-fac.html) <https://darchive.mblwhoilibrary.org/>
- 400 [Worcester Polytechnic Institute](http://www.wpi.edu/Pubs/ETD/faq-fac.html) <http://www.wpi.edu/Pubs/ETD/faq-fac.html>
- 401 [Wright State University](http://www.wright.edu/sogs/thesis/index.html) <http://www.wright.edu/sogs/thesis/index.html>
- 402 [Yale Medicine Thesis Digital Library](http://ymtdl.med.yale.edu) <http://ymtdl.med.yale.edu>
- 403 [Youngstown State University](http://www.ysu.edu/GradSchool/thesis.shtml) www.ysu.edu/GradSchool/thesis.shtml

Appendix L: Total Number of Years ETD Programs were in Operation within the U.S. in December 2009

tot-yrs

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	.50	9	8.3	8.3	8.3
	.75	1	.9	.9	9.2
	.90	2	1.8	1.8	11.0
	1.00	6	5.5	5.5	16.5
	1.10	1	.9	.9	17.4
	1.20	1	.9	.9	18.3
	1.50	3	2.8	2.8	21.1
	2.00	14	12.8	12.8	33.9
	2.50	1	.9	.9	34.9
	2.60	1	.9	.9	35.8
	3.00	11	10.1	10.1	45.9
	3.30	1	.9	.9	46.8
	3.50	1	.9	.9	47.7
	4.00	9	8.3	8.3	56.0
	4.50	4	3.7	3.7	59.6
	5.00	12	11.0	11.0	70.6
	6.00	7	6.4	6.4	77.1
	7.00	9	8.3	8.3	85.3
	8.00	4	3.7	3.7	89.0
	9.00	3	2.8	2.8	91.7
	10.00	5	4.6	4.6	96.3
	12.00	1	.9	.9	97.2
	13.00	2	1.8	1.8	99.1
	14.00	1	.9	.9	100.0
	Total	109	100.0	100.0	

APPENDIX M: PERCENTAGE OF THESES AND DISSERTATIONS WITH
PUBLICATION DELAYS IN U.S. IN FEBRUARY 2010

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid 0	8	7.3	7.3	7.3
0.004	1	.9	.9	8.3
0.01	14	12.8	12.8	21.1
0.02	4	3.7	3.7	24.8
0.024	1	.9	.9	25.7
0.03	3	2.8	2.8	28.4
0.04	2	1.8	1.8	30.3
0.05	9	8.3	8.3	38.5
0.07	1	.9	.9	39.4
0.075	2	1.8	1.8	41.3
0.09	3	2.8	2.8	44.0
0.1	10	9.2	9.2	53.2
0.11	1	.9	.9	54.1
0.12	1	.9	.9	55.0
0.13	1	.9	.9	56.0
0.15	1	.9	.9	56.9
0.17	1	.9	.9	57.8
0.177	1	.9	.9	58.7
0.2	3	2.8	2.8	61.5
0.21	1	.9	.9	62.4
0.22	1	.9	.9	63.3
0.23	2	1.8	1.8	65.1
0.25	4	3.7	3.7	68.8
0.28	2	1.8	1.8	70.6
0.3	1	.9	.9	71.6
0.33	1	.9	.9	72.5
0.38	1	.9	.9	73.4
0.4	2	1.8	1.8	75.2
0.5	6	5.5	5.5	80.7
0.6	1	.9	.9	81.7
0.65	1	.9	.9	82.6
0.98	1	.9	.9	83.5
Don't know	10	9.2	9.2	92.7
No PD	8	7.3	7.3	100.0
Total	109	100.0	100.0	

APPENDIX N: FULL SURVEY RESULTS FOR THE NETWORKED DIGITAL LIBRARY OF THESES AND DISSERTATIONS
(NDLTD) PUBLISHER SURVEYS: DO ETDS DETER PUBLISHERS?

ETD Publisher Surveys	Type of Journals Surveyed		Prior Publication Policy	% with Prior Publication	Will Publish Articles from ETDS?	Policies for Online Documents
Summary of NDLTD Surveys 1999-present, n=148	Most academic areas (as shown below)		Yes	72% (106)	Would consider 44% (62/141)	73% (93/127) Do not have policies that refer to online documents.
			Sometimes	20% (31)		
			No	5% (8)	Would welcome 41% (58/141)	Why is there no reference to online documents?:
			Don't know	2% (3)		
For Profit= 16% (24)					If content was substantially different 9% (12/141)	31% (25/80) Policy is not set yet.
Non Profit= 80% (119)					If access is campus-only access 4% (5/141)	25% (20/80) Manuscripts are handled on an individual basis.
						24% (19/80) It is implied policy covers both paper and electronic.
					Under no circumstance in paper or electronic 3% (4/123)	24% (26/107) Open Access ETD constitutes prior publication.
						7% (9/143) Campus restricted access constitutes prior publication.
NDLTD 2004 ETD Survey of Humanities Editors and Publishers n=20 Survey still accepting respondents	Anthropology Architecture Art Cinema Classics Ethnology Folklore Foreign Languages History	12% 5% 3% 6% 6% 7% 6% 3% 16%	Yes Sometimes No Don't know	45% (9) 45% (9) 10% (2) 6% (2)	Would consider 44% (8/18) Would welcome 22% (4/18) If content was substantially different 22% (4/18) If access is campus-only access 6% (1/18)	67% (16/24) Do not have policies that refer to online documents. Why is there no reference to online documents?: 19% (3/16) Policy is not set yet. 50% (8/16) Manuscripts are handled on an individual basis. 19% (3/16) It is implied policy covers both paper and electronic.
For Profit 0% (0)	Journalism	4%				
Non Profit 100% (20)	Literature	12%			Under no circumstance in paper or electronic 0% (0)	33% (5/15) Open Access ETD constitutes prior publication.
	Music	5%				
	Philosophy	4%				13% (2/15) Campus restricted access

	Religion/Theology	9%				constitutes prior publication.
	Theater Arts	1%				
NDLTD 2002	Anthropology	8%	Yes	58% (19)	Would consider 52% (15/29)	88% (21/24) Do not have policies that refer to online documents.
ETD Survey of Humanities	Architecture	5%	Sometimes	27% (9)		Why is there no reference to online documents?:
Editors and Publishers	Art	7%	No	9% (3)	Would welcome 17% (5/29)	46% (11/24) Policy is not set yet.
N=33	Cinema	8%	Don't know	0% (0)		25% (6/24) Manuscripts are handled on an individual basis.
	Classics	2%			If content was substantially different 14% (4/29)	13% (3/24) It is implied policy covers both paper and electronic.
	Ethnology	5%				
	Folklore	7%				
For Profit 3% (1)	Foreign Languages	2%			If access is campus-only access 3% (1/29)	
Non Profit 97% (32)	History	15%				42% (11/26) Open Access ETD constitutes prior publication.
	Journalism	4%			Under no circumstance in paper or electronic 3% (1/29)	8% (2/26) Campus restricted access constitutes prior publication.
	Literature	12%				
	Music	5%				
	Philosophy	8%				
	Religion/Theology	7%				
	Theater Arts	4%				
NDLTD 2000	Biology	4%	Yes	70% (33)	Would consider 62% (29/47)	68% (30/44) Do not have policies that refer to online documents or only sometimes 12% (4).
Survey of Editors and Publishers	Biochemistry	4%	Sometimes	23% (11)		Why is there no reference to online documents?:
n=48	Chemistry	4%	No	4% (2)	Would welcome 51% (24/47)	31% (10/32) Policy is not set yet.
	Engineering	5%	Don't know	2% (1)		28% (9/32) Manuscripts are handled on an individual basis.
	Environmental Studies	7%			If content was substantially different % (1/47)	22% (7/32) It is implied policy covers both paper and electronic.
For Profit 24% (11)	Life Sciences, Health and Medicine	12%				
Non Profit 76% (35)	Mathematics and Statistics	2%			If access is campus-only access 0% (0/47)	
	Physics	3%				
	Psychology	4%				
	Social Sciences	17%			Under no circumstance in paper or electronic 2% (1/47)	
	Other (includes humanities)	43%				29% (13/45) Open Access ETD constitutes prior publication and 9% (4/45) Campus restricted access constitutes prior publication.

NDLTD 1999 Survey of Editors and Publishers n=48 For Profit 27% (12) Non Profit 73% (32)	Biology & Biochemistry	16%	Yes	94% (45)	Would consider 21% (10/47)	74% (26/35) Do not have policies that refer to online documents or only sometimes 12% (4). Why is there no reference to online documents? 38% (12/32) Policy is not set yet. 9% (3/32) Manuscripts are handled on an individual basis 28% (9/32) It is implied policy covers both paper and electronic. 17% (8/47) Open Access ETD constitutes prior publication. 2% (1/47) Campus restricted access constitutes prior publication.
	Chemistry	6%	Sometimes	4% (2)		
	Engineering	8%	No	2% (1)	Would welcome 53% (25/47)	
	Environmental Studies	6%	Don't know	0% (0)		
	Life Sciences, Health and Medicine	15%			If content was substantially different 6% (3/47)	
	Mathematics and Statistics	6%			If access is campus-only access 6% (3/47)	
	Physics	18%			Under no circumstance in paper or electronic 4% (2/47)	
	Psychology	4%				
	Social Sciences	9%				
	Other	29%				

Source: NDLTD, Publishers Surveys, 1999-present, <http://lumiere.lib.vt.edu/surveys/results/>. In 1999 Joan Dalton (University of Windsor Librarian) developed the first publishers' survey of publishers/editors of scientific journals to obtain ETD policies and opinions (Fox, et al., 2003). The second survey conducted in 2000 of social science and science-and-technology was conducted by Nancy Seamans (Virginia Tech Librarian and Instructional Technology graduate student), and this survey was in response to student concerns at Virginia Tech in the Science and Technology Studies program (McMillan, 2001). For Seamans' survey, graduate students compiled the list of potential publishers they were most interested in surveying (McMillan, 2001). Bobby Holt (Virginia Tech History graduate student) conducted the third survey in 2002 of humanity book and journal publishers

APPENDIX O: DEPARTMENTS/COLLEGES AND PUBLISHERS WHO ARE MOST CONCERNED ABOUT ETDS BEING CONSIDERED PREVIOUSLY PUBLISHED WORKS

Question 7: Are ETDs mandatory for all programs? If partially mandatory, please explain what departments/colleges are not mandatory and why:	No. of times this department was reported as experiencing publisher rejections or concerns
Creative Writing (three allowed to file in paper, one filed on CD)	4
Requirement based on program of study/curricula within each college	1
College of Education	1
MFA candidates have the option to file hard-copy theses or ETDs including: Art, Music, Dance, Theatre Arts and Cinema & Comparative Literature (creative writing counted above).	1
Question 8: Please check all distribution options available to your student? If you have some departments/colleges with different distribution options available, please specify department/college and reason(s):	No. of times this department was reported as experiencing publisher rejection or concerns
ProQuest/UMI offers different distribution options	6
Creative Writing	4
Access by IP address only	2
Engineering	1
MFA	1
Question 18: Have you or your university ever allowed a change in a distribution option, because the student discovered the open access document was interfering with his or her ability to publish? If “Yes” or “Maybe,” please explain the reason for the change and the student’s department.	No. of times this department was reported as experiencing publisher rejections or concerns
Students requested	8
Publisher rejections	5
Don’t know why	3
Misunderstood the form	3
Advisor thought open access ETDs could compromise other work in the lab	1
Publication and/or patent - civil & environmental engineering; biomedical engineering	1
Changes allowed because open access is new, extended publication delay	1
National security	1
Limited, but will change distribution option	1
Restricted ETD found in Google	1
Released too early in error	1

Question 19: Do you encourage publication delays for Theses? Dissertations? Depends on department? If you encourage publication delays, please explain for which departments and why?	No. of times this department was reported as experiencing publisher rejections or concerns
Student and faculty choose	10
Student's choice	4
Chemistry and Biotechnology	3
English	3
Science programs	3
Creative writing publishing	2
Funding agency request it	2
Advise students to check with publishers/peers	2
Sciences patents	2
Engineering	2
Humanities publishing	2
Mathematics	1
American Chemical Society publishing	1
History	1
Question 20: In the past 12 months, how many graduates have reported publisher rejections for submitted articles due to the articles being derived or taken directly from ETDs? If publisher rejection occurred, please note student's department and please note repository these ETDs were in (institutional or ProQuest/UMI repository).	No. of times this department was reported as experiencing publisher rejection or concerns
Theology	2
Question 21: Since your university began to file ETDs, how many total graduates have reported publisher rejections for articles submitted for publication due to the articles being derived or taken directly from ETDs? If publisher rejections have occurred, please note the student's departments and please note the repository these ETDs were in (institutional or ProQuest/UMI repository).	No. of times this department was reported as experiencing publisher rejection or concerns
Theology	2
Unknown	1
Question 22: Note the percentage of students that are concerned about their ETDs being considered previously published works. If percentage is greater than zero (0), please indicate the departments/colleges most concerned.	No. of times this department was reported as experiencing publisher rejections or concerns
Creative writing	7
Chemistry	4
Engineering	3
English	3
MFA	2
Psychology	2
Departments in general are concerned	2
Arts and Sciences	1

Nonfiction writers	1	
History	1	
Economics	1	
Medicine	1	
Humanities	1	
Social science	1	
STEM	1	
Theatre (play writing)	1	
Theology	1	
Interdisciplinary environmental studies	1	
Personal student choice	1	
Scientists	1	
Question 25: Do you have any other experiences or comments to share regarding the topic of ETDs being considered previously published works?		Publishers expressing to students that they will reject articles submitted for publication that are derived from ETDs and other related issues reported
American Chemical Society seems to have restrictive policies on this issue, and a few faculty are trying to convince ACS to change their policies. American Chemical Society has a very rigid policy for its journals about ETDs, and this has been problematic.	2	
Wiley Interscience in Germany has prevented several of our students from putting their journal papers in their ETDs. Wiley Interscience in Germany want people to buy the journal paper from them. One student has basically no ETD because of this (all of his dissertation papers were with them) and I do not know what to do!! We do not know if this is legal under international law.	1	
There are limitations to publish through ProQuest while others want to limit posting open access on the institutional repository (e.g., Springer). I wish there were a better way to get the publishers on the same page regarding this.	1	
Since books and articles derived from ETDs are never published without major revisions, I do not see a conflict with conventional academic publishing and ETDs. Current publication delays are resolving these issues.	2	
Creating a retrospective repository (going back 50+ years) poses some interesting challenges. The greatest is tracking down the authors to get permission to post a digital copy.	1	
Students have to get clearance from governmental agencies to publish their work. These have been resolved with publication delays.	1	
History doctoral students used to file under our "campus encrypted" option; now ten years later most are opting for open access. This is largely due to our documentation and promotion of success stories (i.e. Shirley Stewart Burns and her dissertation "Bringing down the mountains"). If you will recall, she granted open access to her dissertation upon graduation, gained over 30,000 downloads the first year; then revised and published her dissertation as a book with WVU Press,	1	

and most recently she served as a consultant for the film documentary "Coal Country." Her editor, Dr. Patrick Conner, had no problem with publishing content from open access ETDs. In his opinion, 99% of dissertations require heavy redaction before they can be published as books, hence there is no conflict or worry about cutting into monograph sales.	
Many of our faculty advise students to restrict access "just in case" publishing the dissertation might interfere at some time in the future.	1
Students who have published their work before submitting their final thesis/dissertation have concerns because many times they have signed over the copyright to the publishing company and feel they can not release their work through the universities electronic system.	1
The vast majority of publishers surveyed in the '90s do not have a problem with ETDs. See http://lumiere.lib.vt.edu/surveys/results/ See also College and Research Libraries News, v. 62, no. 6 (June 2001): 620-621, and the Cal Tech ETD conference program linked from http://scholar.lib.vt.edu/theses/NDLTD/conferences.html	1
When a student says they have concerns, I ask them to provide names of specific publishers. I have contacted some of these book publishers, and they have assured me in no uncertain terms that ETDs do NOT count as previously published.	1
Question 26: If you know of any student or faculty member that would be willing to discuss publisher rejections for articles submitted for publication due to the articles being derived or taken directly from ETDs, please have them contact me.	Post-print issue reported
Our problem is the "opposite" problem of the students being "forbidden" from putting their own published or accepted papers into their ETD, making the ETD worthless.	1

APPENDIX P: IRB APPROVAL FORM



09E203

Office of Research Compliance
RTEC 117
Athens, OH 45701-2979

T: 740.593.0984
F: 740.593.9838
www.research.ohio.edu

A determination has been made that the following research study is exempt from IRB review because it involves:

Category 2 - research involving the use of educational tests, survey procedures, interview procedures or observation of public behavior

Project Title: An Analysis of Student Reported Publisher Conflicts for Electronic Thesis and Dissertation (ETD)

Primary Investigator: Angela McCutcheon

Co-Investigator(s):

Advisor: David Moore
(if applicable)

Department: Educational Studies

Jo Ellen Sherow

Jo Ellen Sherow, MPA
Office of Research Compliance

10-22-09
Date

The approval remains in effect provided the study is conducted exactly as described in your application for review. Any additions or modifications to the project must be approved (as an amendment) prior to implementation.