12th International Symposium on Electronic Theses and Dissertations

June 10–13, 2009
University of Pittsburgh
Pittsburgh, PA, USA
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<td><strong>Wednesday, June 10</strong></td>
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<tr>
<td>Registration / Information Desk</td>
<td>8:30 a.m.</td>
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<tr>
<td>Pre-Conference Workshops</td>
<td>9 a.m. – 11:45</td>
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<td>Break</td>
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<tr>
<td>Lunch</td>
<td>11:45 a.m. – 1 p.m.</td>
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<tr>
<td>Opening Session</td>
<td>1 p.m. – 1:30 p.m.</td>
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<td>Welcome to Pitt, NDLTD Welcome and Introduction</td>
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<tr>
<td>Break</td>
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<tr>
<td>Breakout Session IA</td>
<td>1:30 p.m. – 3 p.m.</td>
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<td>Practical Solutions for Workflows, Training and Systems</td>
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<td>Breakout Session IB</td>
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<td>Journeys from Obscurity to Viability</td>
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<tr>
<td>Breakout Session IC</td>
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<td>Room C (Kurtzman Room), Efficiencies and Lessons Learned</td>
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<tr>
<td>Keynote Address</td>
<td>3:15 p.m. – 4:15 p.m.</td>
<td></td>
<td>Steve Harl, Université du Québec à Montréal / University of Southampton</td>
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<tr>
<td>Posters / Technology Fair Exhibits</td>
<td>4:15 p.m. – 4:45 p.m.</td>
<td>Lower Lounge</td>
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<tr>
<td>Featured Speaker</td>
<td>4:45 p.m. – 5:45 p.m.</td>
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<td>Daniel Ferreras, West Virginia University</td>
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<tr>
<td>Break</td>
<td>5:45 p.m. – 6 p.m.</td>
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<tr>
<td>Welcome Reception</td>
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<td>Cathedral of Learning, Musical Entertainment by Howie Alexander Quintes</td>
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<td>Conference Dinner</td>
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<td>Carnegie Phipps, Musical Entertainment by WVU “Samba Novs Quartet”, ETD Awards Presentation</td>
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<td>Karla Hahn, Association of Research Libraries</td>
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<td>Featured Speaker / Plenary Panel Session</td>
<td>9:30 a.m. – 10:45 a.m.</td>
<td>Room B (Ballroom)</td>
<td>Patrick Conner, Professor in English / Director, West Virginia University Press</td>
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<tr>
<td>Break</td>
<td>10:45 a.m. – 11:15 a.m.</td>
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<tr>
<td>Breakout Session 2A</td>
<td>11:15 a.m. – 12:45 p.m.</td>
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<td>Repository Innovation and Preservation</td>
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<td>The Future of Open Access</td>
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<td>Networking Lunch</td>
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<td>Deanna Marcum, Library of Congress</td>
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<td>4 p.m. – 4:15 p.m.</td>
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<td>Steve O’Connor, Hong Kong Polytechnic University</td>
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<tr>
<td>Global Outreach Plenary Panel Session</td>
<td>9:30 a.m. – 10:45 a.m.</td>
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<td>Bridging the Knowledge Divide: Expanding Global Open Access</td>
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<tr>
<td>Break</td>
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<tr>
<td>Breakout Session 3A</td>
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<tr>
<td>Breakout Session 3B</td>
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<td>Room B (Ballroom), Regional Approaches</td>
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<tr>
<td>Breakout Session 3C</td>
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**Plan A: Fallingwater and Kentuck Knob**
- Leave the city behind, and take a comfortable coach ride to visit Fallingwater and Kentuck Knob, two of Frank Lloyd Wright's architectural masterpieces in the beautiful Laurel Highlands.
- Includes transportation, admission and lunch

**Plan B: Downtown Tour**
- Just Ducky Tours - Pittsburgh's only land and water tour!
- Andy Warhol Museum - dedicated to the art and life of Andy Warhol, Pittsburgh's native son
- Includes transportation, admission and lunch

**Plan C: Oakland Tour**
- Pittsburgh Nationality Rooms - 27 one-of-a-kind working classrooms designed and built by Pittsburgh's immigrant communities to showcase their rich cultural and architectural heritage
- Includes transportation, admission and lunch

**Plan D: Baseball Game**
- "Take me out to the ball game" and see the Pittsburgh Pirates play the Detroit Tigers at PNC Park on the shore of Allegheny River against the scenic skyline of downtown Pittsburgh.
- Includes transportation and admission
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Welcome to ETD 2009!

BRIDGING THE KNOWLEDGE DIVIDE

The ETD2009 Conference is organized by the Networked Digital Library of Theses and Dissertations, hosted by the University of Pittsburgh and Co-Sponsored by West Virginia University.

Dear Conference Delegate,

Welcome to ETD2009, the 12th International Symposium in Electronic Theses and Dissertations. The conference will focus on electronic theses and dissertations, institutional repositories, open access and integrative e-learning processes in higher education. Discussion topics will include open access, scholarly communications, digital preservation, digital library standards, platforms/demonstrations, new trends and global outreach colloquium co-organized with eIFL. This year we have an outstanding lineup of experts who will share their visions of the future of electronic scholarly publishing. Keynote speakers include Stevan Harnad, Karla Hahn and Deanna Marcum. Featured speakers include Patrick Conner, Daniel Ferreras and Steve O’Connor. The global outreach panel includes presentations on open access outreach initiatives in developing regions brought to you by JSTOR (Open Access Initiative), EBSCO (Open Science Directory) and the World Digital Library project (Library of Congress). Conference activities will also include presentations from prominent librarians, graduate school administrators, information technology specialists and technology solution providers from 4 continents. There will be 5 plenary panel sessions, 37 papers (breakout sessions) as well as 18 poster exhibitors and combined Technology Fair.

There are also plenty of networking and social opportunities to further stimulate and engage you. The conference will provide spectacular venues including a welcome reception in the famous gothic style Cathedral of Learning, conference activities and continental breakfasts in the William Pitt Union, conference networking lunches at the historic Pittsburgh Athletic Association, a conference dinner banquet and awards ceremony in the sumptuous Carnegie Music Hall and a sunset dinner cruise along Pittsburgh’s three rivers on the Gateway Clipper Fleet. After the conference activities adjourn, be sure to take some time to enjoy the beautiful city of Pittsburgh and the region while you are here. Should you have any questions, please feel free to stop by the information desk located outside the plenary assembly room. We hope you will enjoy the conference!

Dedication

This conference is dedicated to the memory of Dr. Amy E. Knapp, Assistant University Librarian, at the University of Pittsburgh. Amy was originally assigned to manage conference planning; however, she passed away before she could see this project to completion. She would have loved to have been here to join us. Her passion for life and travel became an inspiration for our global outreach conference theme. She is dearly missed by all.

Acknowledgements

The Conference Organizers would like to thank everyone involved in helping to make the ETD2009 Conference such a tremendous success. Much gratitude is owed to our major sponsors ProQuest, Patents Online, and EBSCO; their generosity is greatly appreciated. We would like to thank the NDLTD Board of Directors for their guidance. We would like to especially thank the staff of the University of Pittsburgh Library System and the West Virginia University Libraries, who have spent countless hours managing all the various details that an endeavor such as this requires – always with a smile. It has been a real honor, privilege and joy to work with people of such dedication and talent, who know how to get the job done, and have fun doing it. Congratulations on an outstanding job!

We would like to highlight the efforts of several individuals, whose time and talents have contributed significantly to the development of the conference program, correspondence, hospitality, fund-raising and promotions. All who have contributed in some capacity are listed in the conference committee area.

Heidi Card, Faculty and Assistant to Director for Research and Special Projects at the University of Pittsburgh Library System, has contributed much of her time managing the daily correspondence for the registration process and travel scholarship awards program. Her efficiency, organizational skills and knack for diplomacy and communications were remarkable. Arrangements for the Saturday sightseeing events were made by Heidi as well as Tracey Olanyk and Jeanann Haas.
Conference Venue
All conference sessions will take place in the William Pitt Union, a historic building that opened as the Hotel Schenley in 1898.
See the inside fold of the front cover for a map of the building. All other events are within a short walking distance of the William Pitt Union (see the map on the back cover).

Luggage Room
On Wednesday, June 10, 8:30 a.m.–Noon and Friday, June 12, 11 a.m.–6 p.m., luggage can be stored in the registration room (the C. M. Kimbo Art Gallery).

Badges
Please wear your conference badge at all times.
You will need your badge for access to the conference meals and evening events.

Mobile Phones
Please remember to switch off your mobile phones during all conference sessions.

Wireless Access
Wireless access is available throughout the Pitt campus, including the William Pitt Union.
For details, see the conference website, www.library.pitt.edu/etd2009/wireless.html.

Cash Machines
An ATM is located directly outside of the Forbes Avenue entrance to the Student Union (lower level); another ATM is available at PNC Bank, which can be found by taking a left outside of the William Pitt Union main entrance and walking up the stairs at the end of the walkway; Take a right at the top of the stairs.

Smoking
Smoking is prohibited inside and within 15 feet of the building primary entrances and HVAC intake vents of all University owned and leased property. A designated smoking area for the Conference venue is located on the terrace outside of the Kurtzman Room, William Pitt Union.

Emergency Services
Campus Police, Fire, Ambulance
- From off-campus phones, dial: 911
- From on-campus phones, dial: 412-624-2121
- Campus Police (non-emergency): 412-624-4040

More than 500 emergency phones are available throughout the Pittsburgh campus. Many phones are located outdoors and identified by a blue light. Press the red emergency button on the phone, it will automatically register your location and connect you directly to University police.
THE OPEN ACCESS MOVEMENT
Integrating Universities’ ETD-Deposit and Research-Deposit Mandates, Repositories and Metrics

Stevan Harnad, Université de Québec à Montréal / University of Southampton

Wednesday, June 10 3:15 p.m. – 4:15 p.m.

A growing number of universities are beginning to require the digital deposit of their thesis and dissertation output in their institutional repositories. At the same time, a growing number of universities as well as research funders are beginning to mandate that all refereed research must be deposited too.

This makes for a timely synergy between the practices of the younger and older generation of researchers as the Open Access era unfolds. It also maximizes the uptake, usage and impact of university research input at all stages, as well as providing rich and powerful new metrics to monitor and reward research productivity and impact.

It is important to integrate universities’ ETD and research output repositories, mandates and metrics as well as to provide the mechanism for those deposits that may need to be made Closed Access rather than Open Access. Repositories need to implement the “email eprint request” Button for all Closed Access Deposits. Any would-be user Webwide, having reached the metadata of a Closed Access Deposit can, with one click, request an eprint for research purposes; the author instantly receives an automatic email and can then, again with one click, authorize the automatic emailing of one copy to the user by the repository software.

This feature is important for fulfilling immediate research usage needs during any journal-article embargo period, and it also gives the authors of dissertations they hope to publish as books a way to control who has access to the dissertation. Digital dissertations will also benefit from the reference-linking and book-citation metrics that will be provided by harvesters of the distributed institutional repository metadata (which will also include the metadata and reference lists of all university book output). Dissertation downloads as well as eprint-requests will also provide useful new research impact metrics.
PERSPECTIVES ON OPEN ACCESS, ETDS AND SCHOLARLY COMMUNICATIONS

The Digital Axis of Communications

» Daniel Ferreras, West Virginia University
» Wednesday, June 10 4:45 p.m. –5:45 p.m.

Cybernetic communication has deeply altered the notion of text as well as the way we relate to it, and the three basic elements at the foundation of any human exchange, that is the sender, the message and the receiver, are naturally implicated in this fundamental mutation. The paperless text supposes a re-definition of the axis of communication for it implies a new conception of both production and diffusion, especially within academia, where a text is never just a text, but represents rather a contribution to a wider field of research, or a necessary step towards graduation or promotion.

The re-positioning of the sender and the destinatary within the academic axis of communication is directly related to the nature of the message itself which, by becoming digital, affects the conception of information in relation to its reception: as the nature of the message has mutated, so have those of the sender and the destinatary.

Naturally, this new axis of communication is yet still to be fully comprehended and assimilated within the pre-existing academic structure, for it forces us to reconsider many values and notions which had been taken for granted before the cybernetic revolution. Is an essay in a digital form as valid and legitimate as its hard-copy counterpart? Can faculty direct theses and dissertations without taking into account their radically new scale of diffusion? Can scholars protect intellectual property when projected onto the digital field?

Within Academia, these questions are not merely cultural, but professional as well; hence the need to address them as the digital revolution is still unfolding. The sender of a scholarly message today must conceive his or her endeavor in function of a radically different destinatary, and the message itself is directly affected by the new quality of this exchange. The former axis of scholarly communication, upon which the entire academic structure was based, is slowly dissolving into a wide-open digital axis of exchange, challenging most accepted views in regard to scholarly and academic publishing. Some considerations, such as those related to university politics or to tenure and promotion, as mundane as they might appear, cannot be neglected as we re-define the entire structure of scholarly communication, for they play determining roles in the understanding of faculty’s reaction when confronted to the inevitable triumph of digital diffusion.

KARLA HAHN

Association of Research Libraries (ARL)

Karla Hahn is the Director of the Office of Scholarly Communication at the Association of Research Libraries, a nonprofit organization of 123 research libraries at comprehensive, research-intensive institutions in the US and Canada. It has a long history of leadership in promoting positive change in the scholarly communication system. Key focuses of current activity include the assessment and implementation of new scholarly communication models; the development of alliances to advance new systems of scholarly communication; and advancement of library outreach efforts to inform the educational and research communities on issues relating to scholarly communication. Hahn holds both an MLS and a PhD and has published extensively on issues relating to publishing, electronic communication and libraries.

BROADENING DISSEMINATION OF NEW KNOWLEDGE

Scholarly Communications in the Digital Millennium

» Karla Hahn, Association of Research Libraries (ARL)
» Thursday, June 11 8:30 a.m.–9:30 a.m.
works but a range of new products in new forms must also be considered.

A recent statement from leading higher education organizations has articulated strategies for campuses to pursue to promote dissemination of the new knowledge produced by their communities of faculty, staff, and students. Policies like those adopted by the Harvard Faculty of Arts and Sciences and MIT suggest that a culture shift is under way— with institutions obtaining limited rights in works created on campus. But policy is only part of the picture.

Dissemination infrastructure has been blossoming on campuses. New kinds of publishing and dissemination services are developing rapidly. What are the implications of these and related developments, and what underlying trends do they point to?

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**Patrick Conner**

*Professor in English / Director, West Virginia University Press*

Patrick Conner is the Eberly College Centennial Professor in the Humanities and a professor of English at West Virginia University (WVU). As Director of the WVU Press from 1999 to 2008, he established best procedures for university presses in acquiring titles and marketing books which had not been pursued heretofore by the WVU Press and was responsible for creating unique imprints in both Appalachian and Medieval studies to bring greater recognition to WVU’s research mission, particularly as it impacted Appalachian culture. Conner has been a long-term supporter of open access ETDs, and he is experienced in publishing ETDs as commercial monographs, as well.

He acquired Shirley Burns open access history doctoral dissertation, and assigned appropriate editors to bring it into the now popular book *Bringing Down the Mountains: The Impact of Mountaintop Removal on Southern West Virginia Communities*, which has been of immense value to persons concerned with approaches to the conjunction of mining and the environment. His own scholarship embraces early medieval studies and humanities computing. Conner won awards for his development of the Beowulf Workstation, and he founded ANSAXNET, perhaps the earliest discussion group dedicated to early medieval literary subjects. Conner knows what English professors, playwrights, and poets do when they understand computers and take them seriously in their professions.

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**Publishing, Open Access and ETDs**

**A Panel Session on Student, Faculty and Publisher Perspectives**

» Patrick Conner, Professor in English / Director, West Virginia University Press

» Thursday, June 11 9:30 a.m.–10:45 a.m.

The programming language, JAVA, which transformed the Internet, was introduced to the world at the Netscape Developer’s Conference in San Francisco over thirteen years ago on March 5–7, 1996. At the time, those of us present were told that the future would require three dimensions for every resource we produced: everything would have to be interactive, ubiquitous, and distributed. A resource is said to be “interactive” when the user provides significant input or direction and the resource reacts dynamically and appropriately. A resource is said to be “ubiquitous” when it (or a major component of it) is both available everywhere and recognized everywhere as the best means of addressing the problem it is designed to handle. A resource is “distributed” when its components and the responsibility for them are variously located, and not required to reside on a single server.

A complete acquisition of these three properties still drives the development of the Internet and these same properties should drive the development of dissertations online more surely than they now do, but it’s important to keep all three dimensions in perspective, to remember what a dissertation is for, and to understand a variety of needs tied to dissertations in order to aid our effort to move the development of ETDs and to bring dissertations to the next level. The NDLTD is striving to be ubiquitous, but it has not reached that point, nor has it neared the tipping point that would precede it; certainly, we can say that ETDs are distributed via the NDLTD, but a certain amount of fear among dissertation writers and directors has worked against fully open access and distribution. When a dissertation is embargoed to a single institution or campus, it is not distributed.

Finally, I come back to the first term, interactive. Our theses and dissertations are, by and large, digitized paper documents utilizing PDFs, and every theorist I know of the future of textuality will argue for the advent of interactive dimensions that we have not tried to develop. I see the shortcomings in these dimensions as symptoms of a problem that derives from two related situations: we dissertation-producing faculty seem agreed only in seeing a dissertation or thesis as the production that will certify a student’s degree, which diminishes collaboration to even less than the amount a good typist provided before the days of word-processing; moreover, we use the term “to publish” as loosely, if not more loosely, than we use the term “to edit,” to the degree that, most of the time when we speak to each other about these things, we’re talking about entirely different concepts.

Not only do we need to remedy both of these openly and in an organized fashion in order to advance the production of ETDs generally and the NDLTD specifically, but we need to do so in order to advance the forms scholarship should generally be taking at our universities, colleges, institutes and laboratories.

This panel also includes:

» Cynthia Miller, Director, University of Pittsburgh Press

» Clare Connors, University of Pittsburgh
PRESERVATION IN THE DIGITAL AGE
A Moral and Legal Obligation
» Deanna Marcum, Library of Congress
» Thursday, June 11  2 p.m.–3 p.m.

In the print world, libraries have carried responsibility for preservation. In the digital world, the responsibilities grow to include moral and legal dimensions. As stewards of the intellectual record, librarians must ensure that the valid, authentic digital record is sustained over time. Copyright law defines the rules for preserving digital materials; yet, those laws sometimes conflict with the library's moral imperative. This paper discusses the conflicts and recommends actions for consideration by the library community.

DEANNA MARCUM
Associate Librarian for Library Services, Library of Congress
Deanna Marcum was appointed Associate Librarian for Library Services in 2003. In this capacity she manages 53 divisions and offices whose over 1,800 employees are responsible for acquisitions, cataloging, public service, and preservation activities, services to the blind and physically handicapped, and network and bibliographic standards for America's national library. She is also responsible for integrating the emerging digital resources into the traditional artifactual library—the first step toward building a national digital library for the 21st century.

In 1995, Dr. Marcum was appointed president of the Council on Library Resources and president of the Commission on Preservation and Access. Dr. Marcum served as Director of Public Service and Collection Management at the Library of Congress from 1993-95. Before that she was the Dean of the School of Library and Information Science at The Catholic University of America. From 1980 to 1989, she was first a program officer and then vice president of the Council on Library Resources. Dr. Marcum holds a Ph.D. in American Studies, a master’s degree in Library Science, and a bachelor’s degree in English.

BEYOND THE GREAT WALL
Experiences with ETDs and Open Access in China and South East Asia
» Steve O’Connor, Hong Kong Polytechnic University
» Friday, June 12  8:30 a.m.–9:30 a.m.

This paper will explore the incidence and impact of ETD’s and Open Access in China and the broader region. The markets are very different from Europe and the Americas. A survey has been completed for this paper and the results will be presented.

The presentation will reveal a picture of uneven development across the region. It will show great interest in these matters but uneven strategic commitment to this development at this particular time. The pressures on libraries in this region are different and the degree of collaboration is still emerging.

STEVE O’CONNOR
Hong Kong Polytechnic University
Steve O’Connor is the University Librarian, Hong Kong Polytechnic University. He has held a number of equivalent posts in tertiary education in Australia and, as the Chief Executive Officer of CAVAL Collaborative Solutions Ltd, developed, managed projects and programs to serve the library industry. Currently, O’Connor is focused on the creation of new and sustainable business models for the future of libraries. He is also the Editor of the international, peer-reviewed journal, Library Management and the Library Management China.

O’Connor has extensive experience in managing large and small organisations, both income and expenditure-based. His work demonstrates a research and futures focus, which has been developed to ensure library and information services achieve relevant, efficient and cost-beneficial outcomes for all stakeholders.

Steve has researched, published, spoken, consulted and taught extensively in the areas of change, organisational management, information delivery, collection transition, scenario and strategic planning, and the wider library and information environment.

He enjoys foundational and critical ongoing involvement in the development and implementation of digital information services, and in the provision of consortia strategies for service and financial improvement.
“ETDs FOR ROOKIES”

Session Organizer: John Hagen, Manager, Institutional Repository Programs, West Virginia University Libraries
Wednesday, June 10 9 a.m. – 11:45 a.m.

The Newcomer’s Workshop! The successful implementation of electronic thesis and dissertation programs on campus can at first seem to be a daunting task. The Networked Digital Library of Theses and Dissertations consortium will prove extremely helpful in assisting you through this process. Armed with a team of experts, the “Tutorial” session will introduce you to concepts such as the myriad of free resources available through the NDLTD. Topics include ETD implementation and political strategies, discussion of various models of homegrown ETD systems and pre-packaged open source and commercial systems, the role of University libraries in ETD program implementation and archiving, as well as the usefulness of and approaches to consortia and networking to build ETD programs.

PRESErvATION

Gail McMillan, Digital Library and Archives, Virginia Tech
Martin Halbert, Digital Programs and Systems, Emory University
Bill Donovan, Digital Imaging, Boston College Libraries
Wednesday, June 10 9 a.m. – 11:45 a.m.

This workshop is designed to provide institutions with ETD initiatives with information about preserving Electronic Theses and Dissertation in a dark archive through the NDLTD/MetaArchive DDPN—distributed digital preservation network. Instructors will address important topics, including: What are academic institutions currently doing to ensure the long-term availability of their ETDs? What is distributed digital preservation? How can collaborative partnerships help us to securely preserve our ETDs? What is the MetaArchive Cooperative and how do its members interact? How can institutions best organize their ETDs for collection management purposes that also lead to sound preservation strategies?

ADOBE ACROBAT 9

Timothy Plumer, Adobe Systems
Wednesday, June 10 9 a.m. – 11:45 a.m.

With advanced PDF creation, media incorporation, accessibility, security, and archiving capabilities, Acrobat is the most powerful software for creating searchable, universally available electronic theses and dissertations. This presentation/tutorial will focus on and demonstrate the unique advantages that Acrobat 9 offers research communities.

PDF portfolios are containers for any sort of electronic media. You can include files in a variety of formats, created in different applications. You can combine all the documents for your ETD: text and data documents, images, videos, music, graphs, and illustrations. The original files retain their individual identities but are part of the one PDF portfolio file. Each component file can be opened, read, edited, and formatted independent of the other component files in the PDF portfolio.

PDF portfolios are easy to build, scalable, and expandable. Should you need to make changes or tailor your ETD for different audiences, your electronic thesis or dissertation is much easier to update and search. PDF portfolios are universally accessible. This assures that everyone can view and interact with your materials including rich media.

A PDF portfolio is a robust mechanism to deliver the right experience for a given audience. You can control the presentation of files with sophisticated navigational structures that require minimal effort to implement. PDF portfolios are secure. You can restrict the ways viewers can interact with your ETD and preserve the integrity of your intellectual property.

PDF portfolios are fully accessible and searchable. Anyone can quickly search and interact with your ETD using Acrobat or Reader. You can include metadata in your PDF portfolio for accurate indexing of your documents. Resources, tips, tricks, and best practices will be shared with the audience.

Attendees will leave with an understanding of distributed digital preservation and of the roles their institutions may play in the NDLTD/MetaArchive preservation distributed digital preservation network.
Publishing, Open Access and ETD: A Panel Session on Student, Faculty and Publisher Perspectives

The programming language, JAVA, which transformed the Internet, was introduced to the world at the Netscape Developer’s Conference in San Francisco over thirteen years ago on March 5-7, 1996. At the time, those of us present were told that the future would require three dimensions for every resource we produced: everything would have to be interactive, ubiquitous, and distributed. A resource is said to be “interactive” when the user provides significant input or direction and the resource reacts dynamically and appropriately. A resource is said to be “ubiquitous” when it (or a major component of it) is both available everywhere and recognized everywhere as the best means of addressing the problem it is designed to handle. A resource is “distributed” when its components and the responsibility for them are variously located, and not required to reside on a single server.

A complete acquisition of these three properties still drives the development of the Internet and these same properties should drive the development of dissertations online more surely than they now do, but it’s important to keep all three dimensions in perspective, to remember what a dissertation is for, and to understand a variety of needs tied to dissertations in order to aid our effort to move the development of ETDS and to bring dissertations to the next level. The NDLTD is striving to be ubiquitous, but it has not reached that point, nor has it neared the tipping point that would precede it; certainly, we can say that ETDS are distributed via the NDLTD, but a certain amount of fear among dissertation writers and directors has worked against fully open access and distribution. When a dissertation is embargoed to a single institution or campus, it is not distributed.

Finally, I come back to the first term, interactive. Our theses and dissertations are, by and large, digitized paper documents utilizing PDFs, and every theorist I know of the future of textuality will argue for the advent of interactive dimensions that we have not tried to develop. I see the shortcomings in these dimensions as symptoms of a problem that derives from two related situations: we dissertation-producing faculty seem agreed only in seeing a dissertation or thesis as the production that will certify a single student’s degree, which diminishes collaboration to even less than the amount a good typist provided before the days of word-processing; moreover, we use the term “to publish” as loosely, if not more loosely, than we use the term “to edit,” to the degree that, most of the time when we speak to each other about these things, we’re talking about entirely different concepts.

Not only do we need to remedy both of these openly and in an organized fashion in order to advance the production of ETDS generally and the NDLTD specifically, but we need to do so in order to advance the forms scholarship should generally be taken at our universities, colleges, institutes and laboratories.

Panelist: Cynthia Miller, Director, University of Pittsburgh Press

Panelist: Clare Connors, University of Pittsburgh

OpenThesis.org: A Universal ETD Database with Search, Organization, Collaboration and Print Capabilities

Theses and Dissertations have long been inaccessible due to lack of a free, powerful interface to search all of these documents in a single location. OpenThesis.org, a new Web site from the creators of FreePatentsOnline.com, aims to expose all theses and
dissertations, making them highly accessible, useful and share-
able — at absolutely no cost.

Patents Online is the company behind www.freepatentonline.com, the #1 worldwide Website in terms of audience in the patent space. With its worldwide patent database, freepatentonline.com averages 10 million unique monthly users, and 1 million users have registered (registration is free and gives additional functionality).

Having started in the patent space, Patents Online’s mission has expanded to include offering free access to all types of technical and academic documents. Theses and dissertations form an important body of documents in this space. OpenThesis.org will allow authors to upload their theses/dissertations, and the documents will then be vaulted for posterity and made searchable anywhere in the world. If an author (or an author’s family) has only a paper-copy of a thesis/dissertation, the site will give guidance on how to get it scanned into computer-readable form, for subsequent uploading. OpenThesis.org will also work directly with Universities to ensure as comprehensive a database as possible. The existence of a comprehensive ETD database will benefit Universities in licensing efforts, and authors via prospective job opportunities.

As is currently true for www.freepatentonline.com, visitors to OpenThesis will be able to register in about 1 minute, for free, and gain access to special features such as the ability to organize documents into folders, annotate documents, share documents with other users, and set up alerts for automatic notification of new documents of interest.

A few other important aspects of OpenThesis.org:

- Authors will create accounts that will be e-mail-verified as part of uploading their document, and can choose on their very own author page (www.OpenThesis.org/their-name) to show their contact information and/or LinkedIn profile page as desired.
- Every College and University will have a free microsite, e.g., www.OpenThesis.org/Massachusetts-Institute-of-Technology, such that they can link to a repository of documents from their own authors, co-branded with their logo.
- The site will allow users to search the entire document collection, or to limit the search to a particular institution. The documents from a given institution also can be browsed with that institution’s microsite.
- OpenThesis.org will offer, via partner companies, the ability to print and bind theses and dissertations faster and cheaper than through traditional sources.

Theses and Dissertations represent an important compendium of vetted research. OpenThesis.org will ensure that these works, which authors created with formidable investments of inspiration and time, and which universities have ratified as part of awarding graduate degrees, are instantaneously available anywhere in the world via the Web at no cost.

NDLTD Union Catalog / VTLS Visualizer

» Panelist: Vinod Chachra, VTLS

This presentation will discuss in depth the structure and use of the NDLTD Union Catalog. Information will be provided on how the data is harvested, indexed and made available for access. Statistical information will be provided on the size of the database (in excess of 750,000 ETD’s) and its source broken by continent, language and country. Usage statistics will be provided showing the source, frequency and pages viewed. Finally, pointers will be provided on what to do with the metadata to make dissertations from your institution more accessible to the world at large.

Topical Categorization of Large Collections of Electronic Theses and Dissertations

» Panelist: Edward Fox, NDLTD Director, Department of Computer Science, Virginia Tech

» Panelist: Venkat Srinivasan, Department of Computer Science, Virginia Tech

Objectives: The NDLTD Union Catalog has metadata for over 600,000 Electronic Theses and Dissertations (ETDs) in diverse languages from universities around the world. The users can access these ETDs through various search and browse Web interfaces reachable through the NDLTD Website (example, from Scirus and VTLS). We aim to improve those services in two ways. First, we develop approaches to build larger collections of ETDs, which consist of ETDs not only collected via NDLTD’s Union Catalog, but also those collected through focused crawling of many universities’ Webpages. Second, we develop approaches in order to make these large collections more amenable to being used by students and researchers.

Methods and Results: We have identified repositories for some universities that host ETDs but that are not yet part of NDLTD. We have developed custom crawlers in order to crawl some of these repositories as well as the NDLTD Union Catalog in order to harvest ETDs and their metadata (where permissible). Our current collection has about 40,000 ETDs from Union Catalog for our initial experimentation, and we actively continue to collect more ETDs.

We also have developed a categorization system, based on the Library of Congress categorization system and Wikipedia, that is more suitable for categorizing ETDs, and have categorized ETDs into the resulting category tree. Users can first browse this category tree based on their needs and then can either browse a particular node, or search it for items of interest.

Conclusions: Through focused crawling, we have been able to increase content available to users, and make it available at a single place. Categorization of ETDs has helped organize the ETDs semantically in order to make it easier to find relevant information. As part of future work, we will improve our methods to collect as many ETDs as possible from the NDLTD Union Catalog and from various universities around the world, categorize them, and provide a Web interface facilitating access.

NEW TRENDS PLENARY PANEL SESSION

» Moderator: Vinod Chachra

Thursday, June 12 4:15 p.m.–5:45 p.m.

The Semantic Electronic Scientific Thesis

» Panelist: Peter Murray-Rust, Unilever Centre, Department of Chemistry, University of Cambridge, UK

» Panelist: Lezan Hawizy, Unilever Centre, Department of Chemistry, University of Cambridge, UK

» Panelist: Jim Downing, Unilever Centre, Department of Chemistry, University of Cambridge, UK

» Panelist: Joe Townsend, Unilever Centre, Department of Chemistry, University of Cambridge, UK

» Panelist: Nick Day, Unilever Centre, Department of Chemistry, University of Cambridge, UK

» Panelist: Peter Sefton, University of Southern Queensland

We have developed a range of tools and protocols that allow the creation, validation, and re-use of “born digital” theses in scientific domains, especially disciplines reporting chemical
information and results. The primary authoring tools in science are Word and LaTeX, both of which create documents with structures (chapters, sections, etc.) and semantics (annotated paragraphs, tables, graphs, etc.). In many cases the theses also contain raw and processed scientific data which can be at least as important as the natural language text.

We have developed vocabularies and ontologies to describe such theses and, for example, are developing an authoring tool for creating semantic chemistry in a Word environment. We urge that institutions encourage semantic theses and have been developing a proof-of-concept (ICE-TheOREm). Here a student can assemble a thesis from components which can be managed locally on a server and create either Word2007 or ODT-compatible documents. Such theses preserve all the semantics and data.

In practice, current theses are deposited as PDFs and to re-use their contents we must resort to natural language processing (OSCAR3) or semi-structured data tools (OSCAR-DATA). PDF has no semantics and reconstruction is seriously lossy but we can often extract meta/data by machine. We urge institutions always to deposit the native Word2007 or LaTeX documents as well as any PDF; in this way they will capture far more of their science.

We also demonstrate lightweight semantic repositories which provide an embargo mechanism for all or part of the thesis (TheOREm, using ORE). The metadata for the documents (including structuring) are converted to RDF which can be queried with SPARQL providing great flexibility.

Our toolkit and examples are based on the premise that all software, protocols and content should be Open.

We thank JISC, and Microsoft Research for support.

**ProQuest Dissertations and Theses Database User Survey:**

**The first large-scale survey of dissertation information seeking behavior**

» Panelist: Amanda Ross, ProQuest LLC

**OBJECTIVE:** To develop a clearer profile of researchers who use dissertations and a better understanding of how dissertations are used in the research cycle in order to present dissertations in more effective ways to support research.

**METHODS:** “Users” are those who accessed the ProQuest platform and/or ProQuest Dissertations and Theses during the course of the survey (April 20 – May 15, 2008), and responded to an invitation link to the survey instrument. An incentive drawing was included. 3,034 individuals took part in the survey.

The survey instrument – mostly of structured single response questions – included a two multi-element questions using a 1-10 rating scale, and two open-ended questions on the object of the search and on usage of competitive databases like PQDT.

**RESULTS:** Graduate students account for nearly half of database users; undergraduates about a third. Nearly half of all those who searched the dissertation database are either studying for doctorates or working on master’s theses. The corollary is that a majority of those accessing PQDT are not doing so. While librarians in this survey were not themselves frequent users of PQDT, the college or graduate school library Website is an “extremely important” influence on accessing the PQDT or ProQuest platforms.

PQDT is likely to be accessed quite specifically with the intention of reviewing dissertations or theses – and often. About one in five users accessed PQDT at least five times in the month immediately prior to the survey. Social sciences, business and education are the three leading disciplines associated with accessing PQDT. Other important areas are the arts and humanities generally, and medical sciences.

**CONCLUSIONS:** This survey suggests that there is more to learn about non-student researchers and a need to find ways to provide them access to dissertation research. It also supports the importance of dissertations as primary source material in current research.

**Students as Advocates**

» Panelist: Julia Bloxrud, Scholarly Publishing and Academic Resources Coalition (SPARC)

There are many challenges in talking with students about ETDs. Some of the important topics involve those surrounding open access and author rights. Reaching out to students to engage them in these issues can be a complicated process. There are, however, an increasing number of student groups that have become interested in these issues and finding ways to connect with them can lead to increased understanding about the value of ETDs.

The Scholarly Publishing and Academic Resources Coalition (SPARC) has been working with a variety of student groups on open access issues. The techniques in working with students are to find common areas of concern and leverage collaborations. In addition, taking advantage of technologies that appeal to the students increases the reach of the programs.

This paper will provide information on several SPARC student activities. The Right to Research campaign responded to a growing demand from the college student community for tools and resources to express their support for Open Access to research. Students are also interested in Open Educational Resources and SPARC is working with student groups to raise awareness about them as well. The annual SPARKY contest provides awards to innovative videos expressing student perspectives on sharing information. A student open access blog provides a means for students to communicate among themselves.

SPARC’s work with students and student groups suggests many students have embraced the concept of open access and are receptive to raising issues they see as impeding their ability to access information. These activities suggest ways others might consider in their work with students and ETDs.

**GLOBAL OUTREACH PLENARY PANEL SESSION**

**BRIDGING THE KNOWLEDGE DIVIDE: EXPANDING GLOBAL OPEN ACCESS**

» Moderator: Frances O’Brien, Dean, WVU Libraries

» Friday, June 13  9:30 a.m.–10:45 a.m.

**OceanDocs and Open Science Directory:**

Two facets of the information policy of UNESCO/IOC-IODE

» Panelist: Marc Goovaerts, Information Technology, Hasselt University Library

The International Oceanographic Data and Information Exchange (IODE) of the Intergovernmental Oceanographic Commission of UNESCO (IOC) has developed, in the past five years, the tools for a modern information policy focused on increasing accessibility of scientific literature in the field of marine science.
and oceanography with the help of partners such as Hasselt University Library and EBSCO.

With the OceanDocs repository, originally an African project called OdinPubAfrica, the IOC/IODE community and especially developing countries, received a platform to make publications available worldwide. The Open Science Directory, a directory of scientific journals freely available to institutes and scientists in developing countries, has a wider target group than the oceanographic community, but fits completely in the information policy of IOC-IODE¹. The Open Science Directory is developed with the support of EBSCO.

¹IOC: Intergovernmental Oceanographic Commission (iocunesco.org/) - IODE: International Oceanographic Data and Information Exchange (www.iode.org)

World Digital Library (WDL)

Panelist: Michelle Rago, Library of Congress

The World Digital Library (WDL) launched on April 21, 2009. The site is a collaboration between the Library of Congress, UNESCO, and other national libraries and cultural institutions around the world. The objective of the site is to bring historical treasures (maps, manuscripts, photographs, rare books, etc.) representing the contributions of all cultures together on one Web site. On its first day the WDL site, www.wdl.org, received over 7 million page views and over 600,000 visitors. The site received traffic from every country in the world. The WDL project also has the goal of building digitization capacity in partner institutions to narrow the digital divide within and between countries.

Developing Nations Access Initiative

Panelist: Jason Phillips, JSTOR

JSTOR is an independent not-for-profit organization dedicated to helping the scholarly community discover, use, and build upon a wide range of intellectual content in a trusted digital archive. The JSTOR archive includes over 800 leading academic journals across the humanities, social sciences, and sciences, as well as conference proceedings, transactions, select monographs and other materials valuable for academic work. More than 5,200 academic and other institutions in 143 countries and over 600 learned societies, university presses, cultural heritage, and other content contributors participate in JSTOR. As part of JSTOR’s mission, access to the archive is extended for no cost or for low cost to countries included in the Developing Nations Access Initiative (DNAI), including free access to any not-for-profit institution on the continent of Africa. In order to unite efforts to serve the scholarly community, JSTOR and Ithaka recently announced that they had merged their organizations. The new combined enterprise will be dedicated to helping the academic community use digital technologies to advance scholarship and teaching and to reducing system-wide costs through collective action.

During 2008, the Ithaka-incubated resource Aluka was integrated into JSTOR as an initial step, further strengthening ties between the organizations. Aluka, a digital library of scholarly resources from and about Africa, offers three collections, also available as part of the DNAI: African Cultural Heritage Sites and Landscapes, African Plants, and Struggles for Freedom in Southern Africa. These collections bring together in one place more than 370,000 objects from leading archives, cultural institutions, and individual scholars around the world. Types of content include: manuscripts, letters, oral histories, government documents, pamphlets, images, 3-D models, and more.

The presentation will discuss the details of the DNAI, and discuss ways that institutions can collaborate with JSTOR on these important endeavors.

LESSONS LEARNED
PLENARY PANEL SESSION

Success and Challenges for ETD Programs: An Open Conversation

Panelists: Jason Phillips, JSTOR

If your organization is starting an ETD program or expanding an existing ETD program there are challenges whose answers may be found in the experiences of others. Sharing experiences - successes, concerns, and solutions – will help ETD leaders negotiate the unique political, social and organizational environment at their own organization.

This session’s panelists are chosen for their knowledge of a beginning and growing ETD programs and they can speak authoritatively about what they have found to be essential to successful ETD leadership. The featured panelists will represent the perspectives from different regions and all attendees are encouraged to participate in the conversation. The interactive, conversational approach of this presentation has been a proven success in other venues, and will spark ideas and help focus on the issues that are most pertinent to attendees.

Among some of the expected topics of conversation are:

- ideas for incubating new programs,
- advantages, challenges and responsibilities of joining and/or organizing consortia,
- open access issue,
- the cost of program administration,
- advantages/disadvantages to students and universities,
- workflow issue, preservation, and
- ETD policies that have worked or have needed to be improved.

All those in the ETD community, even people who are not attending the conference, will have the opportunity to add their ideas prior to the session by visiting this session’s posting at the official conference blog at etd2009.blogspot.com.

Panelists: Tim Brace, University of Texas at Austin

Panelist: Helio Kuramoto, IBICT, Brazil

Panelist: Amadou Sidibe, National Library of Mali

Panelist: Abdrahamane Anne, University of Bamako, Mali

Panelist: Ibrahim Iba N'Diaye, Chair, International Education and Development Institute (IEDI), Mali

Panelist: T.S. Kumbur, India

Moderator: Ana Pavani, Rio

Moderator: Suzie Allard, University of Tennessee

Friday, June 12 3:45 p.m.–5 p.m.
ETDs, IRs and Open Access: The case of small and medium size academic institutions
» Sophie Bogdanski, Drinko Library, Marshall University
» Susan Copeland, Libraries, Robert Gordon University

Objective: This presentation focuses on some of the specific issues facing small and medium size institutions which are planning to introduce, having to maintain, or aiming to develop institutional repositories containing ETDs. It considers the potential difficulties facing these institutions and the ways in which they can take advantage of the opportunities open to them to ensure that their scholarly output is as accessible as that of larger research-oriented universities.

Methods: The presenters consider the results of recent studies including the findings of parallel surveys undertaken in the US and in the UK in 2007 and the JISC funded ‘EMBED’ project in the UK which concludes in 2009.

Results: The presentation provides an overview of a wide range of relevant issues but focuses, in particular on questions such as: whether small/medium size institutions have the expertise and staffing complement to start and maintain IRs and supporting ETD initiatives; how resource constraints affect and dictate the design and operation of IRs, ETD initiatives, and specific tasks such as the assignment metadata; whether open source software supports their needs, and whether researchers at such organizations can find ETDs from other institutions effectively.

Conclusions: Small and medium sized institutions have unique challenges to contend with in relation to the creation of IRs and the processing of the content to be contained within them. Much ‘good practice’ associated with ETDs exists however, small and medium size institutions have to find ways to select from, and adapt, this to fit the resources they have available. This presentation demonstrates that even with financial, personnel and time constraints, it is possible for smaller institutions to place their academic programs in the best possible light and to ensure that their ETDs, and associated research output, are well publicized.

Creating Self-Paced Training Materials for an ETD Program
» Kathy Fletcher, West Virginia University

At West Virginia University (WVU), we have been presenting face to face workshops, seminars, and help clinics since 1998 when we started our campus electronic thesis and dissertation program. To attempt to meet the needs of those students who have left campus or whose schedules preclude their attendance at live events, we posted our workshop handouts, PowerPoint files, and helpful hint articles online as Adobe PDF files.

In recent years, we have started to create more animated materials for our training efforts using Adobe Captivate software. We have now expanded our online training materials for our ETD training program to include demonstrations and simulation exercises on how to create and modify Adobe PDF files along with other ETD program topics.

We have recently started investigating the use of Adobe Presenter software as a possible way of enhancing our PowerPoint lectures for online delivery. In addition to summarizing WVU’s training material experiences at WVU, this presentation will discuss practical Adobe Captivate tips for creating and editing online demonstrations that are attractive and accessible, while still minimizing final file sizes where possible.

Cataloging ETDs and the Migration to ExLibris DigiTool
» Gordon Ernst, West Virginia University Libraries

After eleven years, West Virginia University (WVU) migrated from its homegrown eIDR ETD system to a new ExLibris DigiTool system named WVU Scholar. This presentation will briefly discuss WVU’s procedures for ETD cataloging in the MARC format for the OCLC Connexion and ExLibris Voyager systems. It will illustrate how we merged the existing eIDR data with the corresponding Voyager bibliographic MARC data to create
Faculty Perspectives on ETD Embargoes

ETDs were for many years a unique type of scholarly document, representing the first scholarly work of an aspiring academic/researcher. Indeed they were unique, constituting a peculiar category of published/non-published materials, accessible until 10 or 15 years ago largely only through meticulous combing of Dissertation Abstracts. Online databases and the ETD movement changed that; interestingly enough at the same time as ETDs began to become a true multi-media phenomenon. Academic institutions are still moving toward requiring universal electronic submission and dealing with issues of open vs. restricted access. At the same time, though, ETDs represent a vanguard of a much larger area of “grey scholarship”, with institutions now “publishing” both undergraduate honors theses and master’s theses, all now being united under the big tent of an Institutional Repository (IR).

A large and growing number of institutions have chosen to do so using the Ex Libris DigiTool platform, with impressive results: theses stored in DigiTool now total more than 27,000 (a very partial count), and with larger numbers of faculty papers and several thousand undergraduate honors papers being represented as well.

It is now clear that ETDs are now an integral part of a larger body of mainstreamed institutional research. At the same time, they are also searchable and therefore deliverable on the basis of full-text, with access controls as deemed appropriate institutionally, and also optionally open to Google (etc.) for harvesting and discovery. In the bigger picture ETDs are moving from a small silo to a big universe.

Come join us as we take a tour a number of important DigiTool ETD sites, including Boston College, Colorado State University, Florida State University, McGill University, Rensseelaer Polytechnic Institute, University of Melbourne, University of Porto, University of South Florida, and West Virginia University.

Objective/Purpose: The purpose of this research is to track trends among academic departments requesting ETD embargoes, gain insight into faculty perspectives on publicly available ETDs, ascertain reasons for approving embargo requests, and identify strategies for educating faculty about embargoes.

Methodology: Since September 2006, graduate students at the University of Maryland have had the option of restricting access to their ETD in the university’s digital repository for either a one- or six-year period. Embargo requests must be approved by the student’s faculty advisor and submitted to the Graduate School prior to uploading the ETD at the end of each semester. Statistics and trends on embargo requests were analyzed for each academic department and faculty advisors were surveyed to determine reasons for approving embargo requests.

Preliminary Results: Since the beginning of the program, an average of 32% of the ETDs that have been submitted each semester have been embargoed. While Engineering has the largest number of embargoes (148), Chemical and Life Sciences has the greatest percentage (53%), followed closely by Agriculture and Natural Resources (52%) and Business (47%). The faculty survey results are pending and will be presented at the conference.

Conclusions/Recommendations: While the percentage of embargoes has remained relatively constant each semester, our goal is to decrease the number of embargoes by educating faculty and students on the benefits of making their research widely available. We are working with the Graduate School and library faculty to develop a scholarly communications program that not only educates faculty and graduate students about the consequences of embargoes, but also makes them more aware of open access issues in general. In addition, we will share best practices for implementing embargoes for institutions planning to add ETDs to their digital repository.

Restricted ETDs and Open Access

The road to Open Access passes by authors’ rights and by the compliance to the legal rights they may have in different nations. In order to enhance Open Access to ETDs, it is necessary to address the issue of how authors behave concerning their theses and dissertations.

PUC-Rio’s ETD program began in 2000 and in August 2002 ETDs became mandatory. Though PUC-Rio is a small university when compared to the Brazilian public institutions, the number of ETDs is over 4,300; between 500 and 600 new ETDs are published every year.

The team that works in the ETD program has observed that restricted ETDs have always been presented. But there never has been a study on the profile of restrictions.

The team decided to analyze restricted ETDs published in 2005 - 2009. Information was gathered from the digital library system. All ETDs with any type of restriction were identified (year, level, graduate program, supervisor, time and reason of restriction). The numbers of ETDs published each year also examined. The types of analysis being performed are:

- Numbers and percentages of restricted ETDs – all ETDs, ETDs per graduate program and ETDs per supervisor, identifying categories of restriction concentration;
- Numbers of restricted ETDs per type of reason for restriction (patent, article, book, etc) – all ETDs, ETDs per graduate program and ETDs per supervisor;
- Numbers of restricted ETDs per time of restriction – all ETDs, ETDs per graduate program and ETDs per supervisor.

ETDs in Lock-Down: Trends, Analyses and Faculty Perspectives on ETD Embargoes

Objective/Purpose: The purpose of this research is to track trends among academic departments requesting ETD embargoes, gain insight into faculty perspectives on publicly available ETDs, ascertain reasons for approving embargo requests, and identify strategies for educating faculty about embargoes.
When proper, time-series are drawn. Once the results are computed, the Dean of Graduate studies will be informed. According to the results, the authors will suggest action(s) to increase Open Access. The authors will try to find similar analysis in other institutions and/or countries to compare the university’s culture with other cultures.

### Steering the Flagship with Electronic Theses and Dissertations (ETDs)

**Ursula Goldsmith, Louisiana State University**

Objective: the purpose of the project or development activity being described – study of change and no change with the university ETDs.

Methods: the way in which the project or development activity was undertaken – internet information which is official.

Results: the key results of the project or development activity successes and lessons learned will be explored in the presentation as well as the conclusion.

Abstract: Managing program requirements for the present while preparing for the future is the goal of every university graduate student, faculty member, and administrator, in particular the importance of developing a strong relationship with ones university. No matter the role, one constantly seeks to have a scalable, sustainable, and professional program to unlock university resources for students. The university studied here seeks to create a disciplined culture of excellence that generates intellectual excitement, transforms lives, and develops leaders.

Graduate students are empowered to develop as a scholar and future researcher while still working on their degree by involvement with ETDs. Some works will be “plain vanilla,” in color, graphics, images, animation, video, audio or in any combination of the new technologies.

This presentation is based on a five-year end bench marked comparative study of no change, change, and adjustments to a paper written by Ursula Goldsmith in August 2002 in partial fulfillment of the requirements for the degree of Doctor of Philosophy in the School of Human Resource Education and Workforce Development, Louisiana State University (LSU), Baton Rouge, Louisiana (LSU is the flagship university for Louisiana, supporting land, sea, and space grant research).

The dissertation “Perceptions of Active Graduate Faculty at a Research Extensive University Regarding Electronic Submission of Theses and Dissertations (ETDs)” is available online at etd.lsu.edu/docs/available/etd-0709102-111850/unrestricted/Goldsmith_dis.pdf.

This dissertation presented statistics across many disciplines. This presentation is a follow-up to the study based on data collected Sept 2007; the final date and closing time for signing up for classes and was posted on the Internet. The data was collected September 10, 2007, five years after the original study whose data had been collected September 8, 2002. Changes occurred in the liberal arts and the school of veterinary sciences.

This is an important study never done before and is unique in what it has shown in the change or no change to steering the flagship.

### From an ETD-Collection to a Visible Open Access Repository

**Peter Schirmbacher, Humboldt-Universität zu Berlin**

Since the Cybermetrics Labs in Madrid (Spain) started its “Ranking of Web of World Repositories” Humboldt-University-Berlin’s institutional Repository, the edoc-Server, was consistently among the top 20 in the list. This results from a systematic development through the various efforts of our special “Electronic Publishing Group”. This group embodies an active collaboration between the University Library and the University’s Computer and Media Service.

These activities started in 1997 with the aim of collecting theses and dissertations electronically. In Germany doctoral theses must be published and we were one of the first German universities to offer to do this electronically.

Today we have more than 3,500 doctoral theses in electronic form, which represents about 35% of all theses written during a year. During my presentation I will give an overview of our activities both at Humboldt-University and in Germany, where the German National Library has more than 40,000 doctoral theses. The author of this article is a member of “Dissertation Online”, acts as an advisory board for electronic theses and dissertations in Germany.

We began with doctoral theses but today we have many different types of material in our repository, totaling about 10,000 documents. These include electronic journals from fields at the university such as mathematics, history, Baltic sea studies and so on. We have a lot of research reports, post-print publications and conference proceedings.

A point of special interest is the open access publications of the Humboldt-scholars. More than one hundred authors have published their articles in our repository. In order to achieve these results we organized numerous events at the university, held discussions with the scholars, and used special student seminars to support scholars interested in publishing electronically.

The activities of Humboldt-University’s electronic publishing group are part of a common German initiative, which is coordinated in most cases by DINI (the German Initiative for Networked Information). During the presentation I intend to report about the “Network for Open Access Repositories” project and a related project, “Statistics about Open Access Repositories”, in which the author is also involved.

### Enhancing Access to Local Content in Developing Countries: a Case Study of the University of Zimbabwe Library Institutional Repository

**Agnes Chikonzo, University of Zimbabwe**

The University of Zimbabwe (UZ) Library was established in 1953. It is the leading University Library in the country and has provided more than fifty years of unparalleled world class service to the nation. The current staff establishment stands at 87 and student population of 12,322. The UZ Libraries are comprised of the Main Library and its six branch libraries which are: College of Health Sciences, Education Postgraduate, Institute of Development Studies, Law, Maps and Veterinary Science.

The UZ Library has also embarked on a number of digital initiatives which include digitizing local content. The UZ Library now has an established Institutional Repository (IR) http://ir.uz.ac.zw, which is a digital collection of the university’s research output, both published and unpublished material deposited by members of the University of Zimbabwe including peer-reviewed journal articles, published conference papers, books and book chapters, working papers, research reports and seminar papers. The full text of these publications is made freely available where possible.

The repository is open to anyone at UZ as a place to capture, store, index, preserve and redistribute the University’s scholarly research materials in digital formats. The UZ repository uses DSpace. The UZ Library will continue to expand its IR thereby enhancing the delivery of information to students, researchers, policymakers and the wider public.
The mission of the UZ IR is to comprehensively collect, capture, digitize, preserve and disseminate widely the intellectual output of the UZ community. UZ has world class scholars and the library felt that dissemination of its products will promote the visibility of UZ scholar’s outputs, enhance students access to information produced at UZ and also enhance the sharing and networking of UZ scholars with other scholars in the global learning and research community.

Current UZ IR contents include Journal articles, Pre-prints, Postprints, Conference papers, Conference proceedings, Research reports, Seminar papers, Newspaper/ magazine articles, Books, Book chapters, Departmental and research center news and bulletins.

Documents in the UZ Institutional Repository are organized by academic departments and research institutions (communities), and within a department, they are further grouped according to the document types (collections), such as conference papers and journal articles. To date they are 54 communities and a total of 223 publicly viewable items.

The UZ Library submitted a funding proposal to eIFL for the purchase of the server. The IR project received funding from IN-ASP to ensure establishment. The University Senate has pledged its support and commitment.

This presentation will discuss a number of policy issues which were resolved during the early stages of planning. Success will be measured through usage statistics as well as the quality and quantity of projects submitted. Key challenges faced and important unresolved issues will also be discussed.

**Students are not the only ones affected: A narrative account of the University at Albany’s transition from paper to digital dissertation submission**

Christine Smith, Office of Graduate Studies, University at Albany

Jane Champagne, Office of Graduate Studies, University at Albany

Objective: The purpose of this paper is to describe the University at Albany’s transition from paper to digital dissertation submission using the ProQuest UMI ETD system. Specifically, this paper will address the various actors that were affected by the change and will explore their concerns and issues which were not anticipated by the persons responsible for the implementation. The University is a public research extensive institution located in New York State’s capital city. Offering over 100 graduate programs, the University receives dissertation submissions from various programmatic areas including public health, education, nanoscale science and engineering as well as the arts and sciences. Due to the University’s diverse academic, student and faculty populations, there are a large number of stakeholders affected by any type of changes made within doctoral education.

Methods: This paper is a narrative case study of the University’s experience while transitioning from paper/hard copy dissertation submissions to the use of ETD. Written and oral communication involving stakeholders will be discussed in addition to interviews and personal accounts of the staff responsible for the implementation.

Results: During the transition, unanticipated concerns over the use of ETD were communicated by students, advisors, academic departments, administration and library staff. The scope of the issues ranged from decreased University income, accessibility of the research publications, formatting issues and policy and procedural changes.

Conclusions: Although the use of ETD is beneficial to both the students and the University, it does have an impact on other University constituents. There were unforeseen implications for members of the University that have to be addressed before the full transition to ETD can be completed. As a result, the University will allow both paper and ETD submission of dissertations until all issues can be resolved.

**Jump Starting an ETD Program: Review of Tools and Lessons Learned**

Janet Lee-Smeltzer, Head, Cataloging and Metadata Services, The University of Alabama

Austin McLean, Director of Scholarly Communication and Dissertation Publishing, ProQuest

Objectives: Launching an ETD project can appear to be a daunting task. Convincing stakeholders to move from paper to ETD is but one of the many challenges that must be overcome. Often the library is faced with new questions that must be answered, in addition to forging a new working relationship with the graduate school.

Questions such as how to deposit the ETD in the local repository, how to obtain author permission and whether to accept multimedia submissions are but a few of the issues to resolve.

Methods: This session will provide a case study of one university and their journey to ETDs. We invite you to join us for a discussion of the various issues a university should consider when setting up an ETD program.

Results: The presentation will cover a review of the online systems available for supporting submission of ETDs, as well as Alabama’s development of an ETD program.

Conclusions: Lessons learned will be conveyed with the hope that Alabama’s experience will allow others to move forward smoothly in beginning the ETD process.

**ETD Authors and Academic Integrity**

Christine Jewell, University of Waterloo, Canada

The University of Waterloo’s academic integrity module for graduate students provides information about the principles of academic integrity and offers techniques to meet the challenges faced by graduate students in adhering to these principles.

Created under the direction of UW’s Office of Academic Integrity, the module is an interactive, multi-media, open access Web site. With an anticipated activation date of July 2009, the module will be a primary source of information for new and continuing graduate students across all disciplines on campus.

This presentation will discuss the elements of this module that are of particular relevance to the graduate student as he or she prepares an ETD. The increasing quantity of information easily accessible to researchers poses unprecedented challenges for the graduate student who is committed to the principles of academic integrity.

Organizational techniques and strategies can be utilized to help control the risk of unintentional violations. To meet high standards of scholarship in this electronic environment, gradu-
ate students need to be able to recognize what constitutes a violation of academic integrity and must be equipped with tools and skills to avert unintentional violations.

This presentation will describe scenarios that illustrate the challenges faced by the ETD author as he or she strives for ethical scholarship. Techniques to support commitment to academic integrity will be outlined.

ETDs transformed: maximizing cataloging efficiencies and open access

» Martin Courtois, Hale Library, Kansas State University
» Merry Bower, Hale Library, Kansas State University
» Michelle Turvey-Welch, Hale Library, Kansas State University

Objective: Develop low-cost, efficient processes for processing ETDs, generating quality metadata, and maximizing access.

* Submission Form

Graduate students submit their ETDs to K-State’s institutional repository and create their own descriptive metadata. The submission process uses a form with pull-down menus which minimizes metadata entry errors and ensures greater consistency in cataloging records.

* Review of Submissions

The Graduate School reviews and approves ETD submissions. ETDs are archived and accessible online as soon as they are approved, usually within a few days.

* Metadata and Workflows

The Library designed a Dublin Core metadata scheme based on the ETD-MS scheme and compatible with DSpace. Once ETDs are approved by the Graduate School, DSpace records are edited by cataloging staff. Most records need no revisions.

MARCedit and an XML-based stylesheet are used to transform DSpace records from Dublin Core to full MARC records for inclusion in OCLC’s WorldCat and the Library’s OPAC. The resulting MARC records are high-quality and require only minor editing.

* Findability

With rare exception, all ETDs are openly accessible and discoverable through Google and Google Scholar. Using the Open Archives Initiative Protocol for Metadata Harvesting capabilities of DSpace, ETD records are accessible through OAIster, the NDLTD Union Catalog, and other harvesters. Students do not submit printed copies of their ETDs, and archival paper copies are not retained, saving time and expense in processing, binding, and shelving.

Results and conclusion: By working cooperatively with the Graduate School and capitalizing on student-generated metadata, the Library has gained significant time and cost savings compared to handling paper theses and dissertations. This approach has led to decreased processing time and yielded greater exposure for students’ research.
ETD Management in DSpace: A Report from the Texas ETD Repository Project

Adam Mikeal, Texas A&M University Libraries

The Texas Digital Library (TDL) is a consortium of public and private educational institutions from across the state of Texas. Founded in 2005, TDL exists to promote the scholarly activities of its members. One such activity is the collection and dissemination of ETDs. A federated collection of ETDs from multiple institutions was created in 2006, and has since grown into an all-encompassing ETD Repository project that is partially supported by a grant from the Institute for Museum and Library Sciences (IMLS). This project seeks to address the full life-cycle of ETDs, providing tools and services from the point of ingestion, through the review process, and finally to dissemination in the centrally federated repository.

A primary component of this project was the development of Vireo, a Web application for ETD submittal and management. Built directly into the DSpace repository, Vireo provides a customized submission process for students, and a rich, "Web-2.0" style management interface for graduate and library staff. Because it is built directly in the DSpace repository, scalability is possible from a single department or college up to a multiple-institution consortium.

In 2008, we reported the results of a demonstrator system that took place at Texas A&M University. Vireo has replaced the legacy application and is now the single point of entry for all theses and dissertations at that university. Rollout to other schools will follow a gradual, phased approach.

This paper examines the challenges faced as Texas A&M transitioned to a new ETD management system, and the architectural issues involved with scaling such a system to a statewide consortium. Finally, it will discuss the application's release to the ETD community under an open-source license.

Implementing ETD Submission at Boston College

Bill Donovan, Boston College Libraries

In June 2007, dozens of dissertations were lost en route from Boston College (BC) to ProQuest (PQ). From then on, we have shipped no more paper. Today, an online submission system provides electronic copies to both ProQuest and to BC’s Open Access repository. This presentation recounts what was required to make eTD@BC a reality.

BC graduate students used to submit two paper copies of their theses: one for the Archives, the other for shipping to PQ. This workflow had to change. Theses would be digitized in-house; PDFs would be uploaded. Information that students had filled in on their PQ forms would be entered manually. This workflow was labor intensive; clearly, an online submission system was needed as soon as possible.

In late 2007, a working group of library staff was formed to plan a staged transition that would ensure both preservation and access, to specify the transition stages and their timing, to allay concerns of faculty or deans, and to safeguard the integrity of the system. Importantly, we needed to educate our stakeholders regarding the benefits of an online submission system, especially when coupled with Open Access.

Starting off with an environmental scan of other universities’ ETD programs as guidance for our planning, we also began taking measures to improve the workflow, such as asking for theses on CD-R. Administrators in BC’s six schools were invited to collaborate with us. With the plan taking shape, we solicited feedback from faculty and school administrators. Concerns ranging from the very general to the very specific had to be addressed.

We are now conducting a new and improved set of eTD@BC workshops to help graduate students succeed in their online submission. While not without challenges, online ETD submission is becoming the norm at BC. Distributed digital preservation is our next step.
Avoiding the Calf-Path: Digital Preservation Readiness for Growing Collections and Distributed Preservation Networks

» Martin Halbert, Woodruff Library, Emory University
» Gail McMillan, Digital Library and Archives, Virginia Tech

ETD repositories often start with very idiosyncratic and ad-hoc beginning data storage structures, driven by exigencies associated with creating an effective electronic workflow for accepting and securely storing digital copies of theses and dissertations as either a replacement or supplement to parallel workflows for print copies. ETD repositories also tend to grow in an effectively unbounded manner over time. Much like the story of the wobbling Calf-Path in the poem by Sam Walter Foss, these early idiosyncrasies and unbounded growth can subsequently cause enormous problems in systematic efforts to digitally preserve content of growing collections. The most effective preservation strategies incorporate pre-coordinated replication of content in distributed and secure locations; such replication strategies become increasingly difficult when the content is stored using irregular practices in directory structures, metadata, and file naming conventions.

This paper will address “Calf-Path” problems by providing practical guidelines, suggestions, and recommendations for ETD repositories. These recommendations are informed by five years of experience in operating the MetaArchive Cooperative, a distributed digital preservation cooperative of cultural memory organizations which has grappled with standardizing transfer mechanisms and developed cost/effective strategies for distributed preservation of ETDs based on the LOCKSS open source software. In the course of the past six years the members of the MetaArchive Cooperative have identified a series of best practices for digital preservation readiness.

These best practices can benefit start-up programs which have not yet established regular procedures and standards for directory structures, metadata, and file naming conventions. This paper will document relatively simple principles and guidelines for such programs that can greatly improve the subsequent likelihood of implementing successful distributed digital preservation programs.

Framing Digital Assets into Context: A Preservation Study in the Design of a Cryogenic Pressure Vessel Using “STEP Documentation”

» Samrat Sarovar, Graduate Student, Mechanical Engineering, West Virginia University
» Victor Mucino, Professor, Mechanical and Aerospace Engineering, West Virginia University

The process of development of a product involves innumerable activities and transactions, spread across a wide array of fields, departments, people etc. Right from the requirements of the customer, conceptualization of the design to manufacturing, there is an exchange of information punctuating all the activities and transactions. One of the main problems the industry faces is the documentation of this information so that it can be used as and when required.

In the long run, most of the information is either not retrievable, or is worthless due to proprietary issues, unavailability of programs used to create it, and other common situations. Even in the scenario that all the information is available and re-usable, there is always the missing link, which might be due to the absence of a particular designer, or in most cases, the statement of purpose, and the context of the design.

This study addresses the issue of Long Term Retention of data, the documentation procedures used during the design process, and the development of context for an engineering problem. The context of an engineering design is the crux of the design process, as, it is the context that defines the problem, the different sets of solutions to that particular problem, and all the decisions taken in the life cycle of the product.

Also the context unifies each decision and each detail documented in the design. Thus, Loss of context renders all the information about the product useless. The design of a Cryogenic Pressure Vessel is used as a case study to understand the process of design, the flow of information, and the role of context in the design of a product.

A cryogenic pressure vessel that is designed to be used as a case study is designed to store and supply liquid nitrogen for a superconductor application. This is complex engineering problem, as the process of design and manufacture is a plethora of activities and transactions between people from different walks of life.

Using this design process as a reference to create Engineering Scenarios, we identify the flow of information through the various activities and transactions involved in the development of the product. These Engineering Scenarios also give us an idea on how the information is documented at each stage.

In the broader aspect, this project will help us identify a methodology for archiving information about engineering techniques and experiments, and be fundamental in providing guidelines to better preservation of complex engineering data. This will facilitate an environment conducive to easier and faster research on any given topic relevant to the end user.

This study is also part of wider digital preservation and archiving efforts lead by the U.S. National Archives and Records Administration (NARA). The common mission is to ensure the long-term retention and usefulness of digital data as well as the complex relationships and contextual metadata among digital assets. West Virginia University (WVU) is among a growing number of partner institutions working with the National Archives to provide comprehensive and integrated archival standards, methodologies, systems and solutions to guarantee the preservation of the digital information that becomes part of the historic national record.

Further, the WVU Libraries have offered the use of the institutional repository, “wvuScholar”, as a collaborative test bed environment for future usability studies in metadata subject and contextual analysis as well as for preservation and archiving using the application of the proposed methodologies of this study.

BREAKOUT SESSION 2B

COLLABORATIONS: INTER/INTRA DEPARTMENTAL COOPERATION

» Moderator: Suzie Allard, University of Tennessee
» Thursday, June 11 11:15 a.m.–12:45 p.m.

Moving from a Decentralized to Centralized Model for Processing ETDs

» Angela McCutcheon, Director of Thesis and Dissertation Services, Graduate College, Ohio University

Ohio University in Athens, Ohio, used a decentralized graduate college model for 25 years. Moving towards a centralized ETD processing model required coordinating with the library, graduate council, several graduate studies offices, and the new Graduate College. Ohio University spent two years centralizing its operations.
This included: one Web site location for all forms and information regarding how to file a thesis or dissertation; one set of TAD format/layout guidelines; one location for documents to be submitted; one Word template document that can be used by all students to write a thesis or dissertation; Word training for formatting manuscripts in any writing style (APA, MLA, etc.); Thesis and Dissertation (TAD) Process Workshop for all thesis and dissertation students; a more streamlined method of Library cataloging; and future opportunity to standardize all thesis and dissertation forms for all colleges.

In this presentation Angela will discuss the challenges, processes uses to resolve conflict, and successes experienced in moving towards a centralization models for formatting manuscripts, streamlining ETD operations and procedures, and working closely with the Library to get document cataloged efficiently.

Going Digital: The Implementation of an Electronic Honors Thesis (eHT) at WVU and its impact
» Keith Garbut, The Honors College, West Virginia University
» Molly Simis, The Honors College, West Virginia University

In 2006 the Honors Program at West Virginia University (WVU) became The Honors College, as part of the change the formally optional Honors Thesis became a requirement for all students who wished to graduate as a University Honors Scholars. To facilitate the collection and storage of these undergraduate thesis WVU Libraries collaborated with the Honors College to provide an Electronic Honors Thesis Repository (eHT).

This presentation will discuss the issues and challenges associated with this implementation, particularly issues associated with undergraduates as users of the system and the effect of a moderator (The Honors Dean) who is not a professional librarian. In addition we will discuss the unintended, but positive, consequence of the move to a digital thesis, the creation by students in the Honors College of an externally funded undergraduate academic journal.

From Paper to Pixels: Rough Spots and Roadblocks on the Way to ETDs
» Max Read, Faculty of Graduate Studies, The University of British Columbia
» Bronwen Sprout, UBC Library, The University of British Columbia

This paper will describe the process of developing an ETD program from pilot project to mandatory ETD submission, and will discuss issues and solutions from the perspective of both the Library and the Faculty of Graduate Studies.

In December 2005 the UBC Library and Faculty of Graduate Studies initiated a pilot project for ETD submission to the Library’s new electronic repository. We will discuss what we did to prepare for the pilot project, issues that arose from it, and subsequent actions.

When ETD submission opened in November 2007 we immediately got 50% of theses submitted electronically, and that percentage has increased. Theses submitted on paper are scanned to PDF and handled the same way as ETDs. The most challenging issue was the question of archiving ETDs. We decided to discontinue the older technology of microfilm/microfiche/paper backups, and to put resources into developing a reliable system for electronic archiving. We will discuss the process that led to this decision.

Some unexpected issues arose; creative arts faculty and students did not want their theses online, and we had an increase in requests to withhold theses on the grounds that journals would not publish previously-online material. We will discuss how we resolved these issues, albeit temporarily, and what is being done to address them further.

Technical support is now available to students through a Library computer lab, and we will be proposing that electronic submission become mandatory. We will discuss the outcome of this proposal, and any procedures we develop to streamline the submission process.

Repository usage statistics – Can you count on them?
» Simon Bevan, Cranfield University, UK
» Paul Needham, Cranfield University, UK

Objective: The objective of this paper is to describe work undertaken as part of the Publisher and Institutional Repository Usage Statistics (PIRUS) project to develop COUNTER compliant statistics for material contained in IRs. The initial aim of the project was just to consider journal articles but it became clear that this format limitation was an unnecessary constraint. ETDs were an obvious candidate as the need for reliable statistics pertaining to ETDs has never been greater.

Methods: The project was undertaken via a combination of desk research, survey and practical development testing. The study had some synergy with a parallel funded project entitled Embed (Embedding IR into the institutional research process) for which academic staff were already requesting data on usage statistics.

Results: A methodology for providing COUNTER compliant usage statistics to measure full-text usage in repositories has been developed. PIRUS/Embed synergy resulted in the development of a dashboard style interface to statistics. Usage statistics, stripped of robot usage have resulted in significantly lower figures but are now credible, compatible and consistent.

Conclusions: A bid for funding for the PIRUS2 has been submitted. This will expand on the work undertaken in PIRUS and will include a case study on the recently launched EThOS service.

It is hoped that comparisons with other services can be developed along with a consideration of functionality to aggregate statistics for different copies of the same items within different systems. Currently the COUNTER standard relates to full-text downloads.

Given that item usage may be a significant metric in terms of, for example, conversion rates (item views to full text views), one future consideration should be to consider the measurement of metadata views. Item views may also be important for researchers, institutions and funders.
EThOS is LIVE and is opening access to UK theses!
» Anthony Troman, British Library
» Tracy Kent, University of Birmingham
» Simon Bevan, University of Cranfield
» Susan Copeland, Robert Gordon University, Aberdeen

Objective: The UK’s national Electronic Thesis Online Service (EThOS), launched in January 2009 and has already significantly increased access to UK theses.

The aims of the EThOS project were to:
- Offer a ‘single point of access’ where researchers the world over can access ALL UK doctoral theses
- Support HEIs through the transition from print to e-theses (enhancing procedural infrastructures and improving national workflows of electronic theses)
- Expand available content by digitising paper theses
- Demonstrate the quality of UK research and help attract students and research investment into UK HE

Methods: A collaborative project between a representative group of UK Higher Education Institutions and The British Library, with financial support from publicly funded bodies including the JISC, Research Libraries UK and the partners.

Results:
- A live, national service to make ALL UK theses available to researchers anywhere in the world
- A support infrastructure including the EThOS Toolkit – an online resource packed with useful information and guidance, plus a help desk and information point
- 92 signed up UK institutions (at Feb 19, 2009 – and growing)
- 11,300 paper theses digitised UK Thesis Digitisation

Conclusions: The presentation will describe the project and demonstrate the service and supporting infrastructure.

We will highlight the lessons learned along the way including:
- How NOT to launch a service
- How to launch a service
- Open Access pros and cons
- IPR issues
- Impact on the Institutions
- Ongoing Advocacy Activities
Graduate Student’s Need Assessment and Impact on ETD Programs: Results from a Large-Scale Study
» David Mendez, Director, UMI Dissertation Publishing

Objectives: This presentation will summarize key findings of a survey among doctoral students – PhD candidates and PhDs – about the challenges associated with this level of higher education. The survey has sought to grasp the personal, academic and administrative issues that confront doctoral students as they move through doctoral programs, and how they deal with them. By understanding issues that graduate students face, librarians and administrators can create programs, including ETD programs that take into account this group’s unique needs.

Methods: Over 600 doctoral students took part in the survey. The survey followed the process of embarking on a doctoral program through its completion.

Results: Where appropriate, the report indicates distinctions between categories of doctoral student, in particular international students versus their domestic peers, and by field of study.

Conclusions: Findings showed Candidates’ substantial concerns when embarking on doctoral programs reflect the anxiety of moving into unknown territory – both on a personal dimension and academically. Faculty and professors play the most important part in influencing student decisions on which doctoral programs to apply for.

Graduate school Web sites and rating sources are also significant in the choice. Time management and lack of structure, support and guidance present higher challenges than other factors in carrying out doctoral studies.”
Discovering Invisible Colleges and Knowledge Maps in Dissertations and Theses

» Denise Bedford, Kent State, World Bank

Abstract: Citation analysis provides insights into communication and professional networks amongst scholars. There is a rich body of professional knowledge on this topic dating back several decades. In the last five years, social and communication networks analysis, and knowledge mapping have used similar techniques to discover a) who is communicating with whom, b) what is the nature of the message, c) what knowledge domains and nodes exist within a network, and d) attributes of the actors or nodes. Theses and dissertations by nature provide a broad view of their respective knowledge domains. Applying more extensive network analysis and semantic analysis methods to theses and dissertations may provide insights into hubs and gaps in knowledge domains that are critical to economic development.

The purpose of this research and presentation is twofold: (1) to determine whether theses and dissertations can provide high level insights into where domain knowledge is broadly concentrated and where knowledge is scarce, and (2) to determine whether economic development organizations can leverage theses and dissertations to discover new knowledge hubs in countries of interest, and expand the knowledge base of economic development work.

Methodology: Sample sets of theses and dissertations from several domains and several countries provide a base from which to draw a map of the knowledge domain. Semantic analysis methods and technologies are used to extract institutions and nodes in the sample sets. Rule based concept extraction methods are used to identify people and institutions cited in theses and dissertations. Rule based categorization methods are used to classify the knowledge domains of the theses and dissertations and the work referenced in the citations. These extractions form the base of the knowledge maps.

ETD Initiatives in India: Identification of some indicators of success

» Tukaram Kumbar, DA-IICT, Gandhinagar, India

India has over 400 university level institutions. Most of these Institutions offer Doctoral programmes in different disciplines. Over 130 theses are accepted every week for award of Doctoral degree by all these universities put together.

A copy of each thesis in print format goes in to the collection of University library for preservation and future use. Systematic efforts have been made by various agencies at national level to achieve the bibliographic control of this valuable collection. The Association of Indian University publishes the list of theses accepted by the universities in India as part of its weekly publication ‘University News’. Consolidated lists of the same under broad disciplines are also published by this association. The Information and Library Network Centre (INFLIBNET) has created a bibliographic database having over 2,00,000 records.

Information and Library Network Centre (INFLIBNET) has created a bibliographic database having over 2,00,000 records.

During last few years, quite a good number of universities have started creating Electronic Theses and Dissertations database covering full text of theses submitted to their universities using open sources software such as DSpace and E-Prints. Some of them have formulated policies to accept the theses in e-form besides the print. The Vidyanidhi: Digital Library & E-scholarship project has already put in over 600 theses in full text. INFLIBNET proposes to facilitate the universities to undertake the work of creating ETDs. To give an impetus and direction to the efforts in this area, the University Grants Commission came out with some regulations to be followed by universities for creating ETDs and sharing the information. All this indicates that, like many other developed and developing countries, there has been a strong desire in India to make this rich, valuable and unique information contained in the theses and dissertations available for furthering the scholarship.

What the author is attempting to do in this proposed paper is to critically look at each ETD project undertaken by the universities, R&D institutions as well as national level organizations in India using certain well established parameters and present the progress made along with their future plans. This paper will also present the issues and challenges faced by these institutions in creating the ETDs, particularly, the challenge of creating ETD in Indian languages. Paper would also present certain indicators which can be used to measure the success of these ETD efforts in the country.

The DART-Europe E-theses Portal: Helping the discovery of Europe’s open access doctoral e-theses

» Martin Moyle, UCL Library Services, University College London

Objective: The DART-Europe E-theses Portal has been developed by UCL (University College London), on behalf of the DART-Europe partnership and LIBER, to provide a central discovery service for European e-theses. The aim was to create an OAI-PMH based service which was low maintenance, but also user-friendly, and enriched where possible to help to meet the needs both of data contributors (which may be universities, academic consortia, or national libraries) and researchers.

Methods: Data is harvested daily using the open source PKP Harvester2 software. A number of standardization and enrichment routines are applied to create a normalized copy of a subset of that data, using which search, browse and results functions are delivered. The original harvested record remains intact, and from this record the user may follow links to the full text of the thesis and download it to the desktop. These discovery services are delivered through a bespoke user interface.

Results: The Portal currently holds details of 100,000 doctoral level, full text e-theses awarded by 180 different European institutions from 12 countries, and it continues to grow. Core search/browse features have been supplemented by search history, marked lists, download of records by email, and new content feeds. The service went into production early in 2009, and has begun to appear in academic library resource listings. Google Analytics has been implemented to provide quantitative measures of usage. New user-oriented features are being added incrementally.

Conclusions: The DART-Europe Portal shows that, despite its limitations, simple OAI Dublin Core can be employed to deliver a useful service which is more than the sum of its parts. The DART-Europe partners aimed to provide a consolidated European e-thesis discovery service for the benefit of researchers internationally, and the Portal goes a long way towards meeting that brief.
A study of Major Institutional Repositories in India

» Shalini Lihitkar, R.T.M. Nagpur University, Nagpur, India
» Ramdas Lihitkar, Institute of Science, India

Institutional repositories (IR) are digital collections that capture, collect, manage, disseminate, and preserve scholarly work created by the constituent members in individual institutions. The establishment of IR in the developing countries ensures that their national research becomes mainstream and contributes on an equal footing to the global knowledge pool.

The paper presents the Indian scenario in developing the Institutional Repositories. The authors depict the main bottlenecks for setting up of IRs in various Indian institutions and come up with appropriate suggestions.

Total number 33 Institutional Repositories in India have been analyzed based on selected study criteria like software used for repositories, size of the items, contents included, languages, description and Country.

The Role of Open Access in Fostering Knowledge Sharing and Collaboration: A case study

» Getaneh Agegn Alemu, Tallinn University

Researchers often invest a lot of time, energy, money and intellectual effort in producing knowledge in the form of scholarly articles. They forecast trends, create efficient and better working models, design systems and help to improve work and processes. To publish their intellectual works on peer-reviewed journals, they transfer their copyright to the publisher (Swan, 2006a). The goal of the authors focuses on creating a meaningful impact with their research work and in return expecting intangible gains such as peer recognition, academic rewards and promotion.

In the current reader-pays publishing model it is ironic that the knowledge creator i.e. the author, “rarely benefits as the subscription fee usually remains the revenue of the publisher” (Glover, Webb & Gleghorn, 2006:197) and “academic authors are interested primarily in wide dissemination of their publications and seek no direct financial reward” (Park and Qun, 2007:57).

While the digital divide continues to widen, the disparity in access to scientific publications between the scholars from developed and developing countries also continues to expand. Open access is claimed to be one of the solutions to bring scientists on a relatively equal footing in terms of access to knowledge. Hence researchers in developing countries can disseminate and access scholarly knowledge. Nonetheless, the question which open access models work better for these countries and how open access can be harnessed to improve research uptake needs to be explored.

There exists no research on open access in Ethiopia. The main impetus for this research came from an observation that Ethiopian scholars in universities have lagged behind in terms of publishing their research works. This research was initiated to answer those questions by collecting evidence in Ethiopia mainly from researchers and librarians in Ethiopia.

The study looks at how open access fosters knowledge sharing and collaboration among scientists in Ethiopian universities. Articles and book chapters, news and blogs, Web sites and online directories are reviewed and analyzed to discuss and present the current status of the open access movement and contextualization will be made to the situation in Ethiopia. This is an ongoing master thesis that is expected to be completed in the course of April 2009.

ETD and Open Access Developments in South Africa and the SADC region

» Felix Ubogu, Library, University of the Witwatersrand, Johannesburg
» Daisy Selematsela, Knowledge Management and Evaluation Division, National Research Foundation

After ten years of uncoordinated and varied approaches to electronic theses and dissertations (ETD) projects, a national framework, managed by the National Research Foundation, has now been established in South Africa for institutional repositories that will provide electronic access to full-text ETDs for the research community in South Africa and beyond.

There is now general acceptance by most of the higher education institutions that there should be open access to ETDs, which will make them visible and easily accessible to potential users in and outside Africa. This will enhance access and sharing of these vital research resources on the continent and contribute to the socio-economic development of Africa.

The same does not, however, hold for other forms of scholarly communication such as peer-reviewed journal articles and grey literature such as research reports, seminar and conference papers.

The paper will review ETD and open access developments to date in South Africa and the Southern African Development Community (SADC) region. A literature search and examination of the Web sites of selected higher education institutions in South Africa and the SADC region will establish the extent of ETD and open access activities in the higher education institutions.

This will also establish the existence or otherwise of legislative frameworks for open access in the countries of the region. The paper will conclude with recommendations on ways to foster regional collaboration in the development of institutional repositories to enable open access to research work carried out in the region.

Open Access: Latin-American Caribbean Style

» Swarna Bandara, Head, Medical Library

Latin-America and the Caribbean include 27 countries, and have a history of over 35 years in bibliographic networking. Agricultural Information Network (AGRININTER) and Health Science Information Network (LILACS) are good examples of such networks.

The primary objective of these networking initiatives was to contribute to the information needs of the region by creating regional bibliographic databases on specific disciplines. As Information Technologies became available, these databases were lifted to a new paradigm making Open Access (OA) possible to address emerging research communication issues in the region.

BI REME, a branch of the Pan-American Health Organization is the Coordinating Center for LILACS. BIREME proposed the Virtual Health Library (VHL) concept in 1998 to the LILACS membership to create an OA platform to all research papers.

BREAKOUT SESSION 3C

OPEN ACCESS: CONTINENTAL STYLE

» Moderator: John Hagen, Manager, Institutional Repository Programs, West Virginia University Libraries
» Friday, June 12 11:15 a.m.–12:45 p.m.
published in the region using modern information technologies. Since then, BIREME developed tools to facilitate a number of aspects of the research communication process. Among these, SciELO provided the “Gold Road” for journals within the membership countries.

SciELO is a platform for electronic publication of scientific journals that provides statistical indicators of usage and impact factor, archival and preservation. SciELO selects the journals it publishes on the basis of international, scientific journals evaluation criteria.

This ensures quality. SciELO’s second module facilitates visibility and access to these journals via thematic and national Web portals. The third module is to collaborate with all players in the international scientific communication process. SciELO now publishes 611 Journals with 200,000 articles that produced over 3.8 million citations and numbers continue to grow. SciELO is also used in a number of Spanish speaking European countries and is a representative element of the VHL on OA.

VHL concept has been accepted as Global Health Library by the World Health Organization for global use. The concept is replicable in any discipline.

Cyberthesis style page application for producing digital theses in two Peruvian universities

» Libio Huaroto, Universidad Nacional Mayor de San Marcos
» Liliana Elespuru, Peru

Objective: This paper describes activities that were carried out in order to implement the Cyberthesis style page for the producing of undergraduate and graduate digital theses by students from Universidad Peruana de Ciencias Aplicadas (UPC) and Universidad Nacional Mayor de San Marcos (UNMSM). Methodologies developed in both institutions vary according to their respective regulations. UPC is a private university, UNMSM is a public one.

Methodology: In UPC it is mandatory for students to follow the Cyberthesis style page; workshops were implemented there at all academic levels. In UNMSM, pilot workshops were conducted with researchers, faculty and senior undergraduate students, in order to considerate the utilization of this style page.

Results: In both cases results are considered a success. In UPC the style page is now a tool used for producing digital theses and its use is considered as a requirement by the Regulations for obtaining degrees and titles. In UNMSM, pilot workshops have given their organizers the opportunity to show the need for implementing a style page, so now there exists a formal proposal presented in order to make this application a mandatory step when producing digital theses at all academic levels.
Current practices and workflows among North Carolina ETD programs

> Anne Marie Taber, UNCG Libraries
> Mary Early, UNCG Graduate School

Objective: To examine current practices with special attention to workflows and divisions of labor among ETD programs in North Carolina

Methods: The authors will administer a broad, simple online survey to acquire information from colleagues in the NC ETD community. Surveys will be emailed in early March with data collected throughout the month, then analyzed with results written up in April.

Preliminary survey questions:

- How many graduate degrees are offered by your institution?
- How many require submission of a thesis or dissertation?
- Is electronic submission required or optional?
- Does this vary by academic unit?
- Which departments are involved in administering ETD at your institution?
- Who was responsible for determining the division of labor between libraries, graduate schools, and IT departments?
- How much collaboration and communication exists between these departments?
- Which personnel perform what ETD tasks?
- Is there a written procedure or workflow for the ETD process?
- Does your institution provide digitization and storage or contract it out?

Results: We anticipate finding a variety of collegial relationships between academic departments, as well as a variety of systems and processes designed by universities to accommodate organizational structures, academic programs, and other requirements.

Conclusions: By examining existing task relationships and workflows, we hope to identify patterns so as to offer suggestions for institutions planning ETD programs and those wishing to improve or streamline current programs.

ETDs and Open Access: Enter the NDLTD Open Access Day Contest

> Charles Greenberg, Cushing/Whitney Medical Library, Yale University

Open access is the cornerstone of the open knowledge movement. For much of human history knowledge was a gift and even a necessity for preserving history, faith, health, and scientific discovery, shared openly without an expectation of compensation. Knowledge was recorded for posterity, often with no commercial intent.

The invention of movable type and printing presses introduced the concept of a knowledge mass market, and knowledge eventually became known as a commodity to be sold, marketed, or even given away with embedded advertising. Commercial publishing expanded the quantity and availability of printed knowledge, while copyright laws protected the author and publisher’s monopoly over distribution, reproduction, and performance.

Libraries and universities have historically expanded access and asserted free, unencumbered access to knowledge for all visitors and readers, though the growth of academic and public libraries are limited by budgets constraints. The existence of a networked digital library of theses and dissertations asserts a right of public access, fair use, and the existence of non-commercial interests supporting the public good.

The 21st century rapid expansion of the digital scholarship movement and access to electronic theses and dissertations empowers readers everywhere to consider how much we take for granted in a world offering more and more open access.

There are dramatic, entertaining, and inspiring stories to we hope you can share about how open access to academic scholarship furthered both student, institutional and commercial success. NDLTD is sponsoring a 2009 YouTube contest, open to the global academic community of scholars and students, to tell stories and share the benefits of open access to electronic theses and dissertations.

The contest winners will be announced on the 2009 Open Access Day and on the NDLTD Web site, and submissions will be featured in the future on the NDLTD site. Please submit your video here: www.youtube.com/group/etd2009.
ETDs in Brazil: 2001 – 2009
» Ana Pavani, Departamento de Engenharia Elétrica, Pontifícia Universidade

Brazil is a very large country that spreads from the North of the Equator to the South of the Tropic of Capricorn; it has many landscapes and climates. The population concentration and the Human Development Index vary from region to region. The South and South East have the highest population density and the highest development levels. The majority of oldest and most traditional graduate programs in the country are in these regions too.

ETDs in Brazil started in the late 1990s. In 2001 a project of the Ministry of Science and Technology created the Brazilian national consortium of ETDs. At that moment, there were only 3 universities with ETD programs – 2 were in the South East and the third in the South.

The national consortium is named BDTD – Biblioteca Digital de Teses e Dissertações (btdt.ibict.br) and it is operated and managed by IBICT – Instituto Brasileiro de Informação em Ciência e Tecnologia (www.ibict.br). BDTD developed free and open software for the universities to use. Training sessions were held all over the country in order to support the local institutions.

At the moment there are 78 institutions with ETD programs and the National Consortium holds over 83,000 metadata records. All institutions operate digital libraries that are OAI-PMH–Open Archives Initiative Protocol for Metadata Harvesting data providers. This poster shows the evolution of ETDs programs – mapping geographical regions and sizes of collections, currently present in all regions of Brazil.

Aligning Academic Research Agendas With Economic Development Agendas
» Denise Bedford, Kent State, World Bank

Organizations like the World Bank, the European Bank for Reconstruction and Development, the Asian Development Bank, Inter-American Development Bank and the African Development Bank work with country governments, non-governmental organizations and knowledge domain experts to develop Country Assistance Strategies for client countries.

The purpose of this research is to explore the extent to which those Country Assistance Strategies are aligned with the academic research produced by or about those countries.

Methodology: A sample set of developing and middle-income Country Assistance Strategies will be used to determine the base of need for research and development for each country. Semantic analysis methods will be used to characterize the knowledge domain of the R&D need.

Theses and dissertations targeted to the country or generated from within the country will be used to define the R&D agenda on a practical level. Research agendas or foci discussed by professional associations, academic institutions or academies in the country also will be used to define the R&D base. Semantic analysis methods will be used to characterize the R&D focus. Comparisons of need and focus will be drawn, gaps will be highlighted, and opportunities for alignment will be identified.

Total Quality Management (TQM) for ETDs
» Dinesh Chandra, Ministry of Defense, India
» Kamani Perera, Regional Centre for Strategic Studies

ETDs facilitate more timely exchange of information among scholars and improve distance learning without any geographical barrier. It supports teaching, learning and research while reaching unreachable without walls through digital libraries.

Greater revolution has occurred in the libraries recent past converting paper-based libraries to electronic based ones.

With the emergence of WWW and availability of national and global networks, universities and libraries have turned their attention to ETDs rather than building printed-based TD collection. In this way, librarian’s role dramatically changed and is responsible for what ETDs available for their users and how users can access to the available information within the physical walls of the library or elsewhere for scholarly communication.

ETDs can be defined as theses and dissertations which are submitted in electronic format and facilitate use of multimedia, reference linking while accessing electronically. TQM methods can be applied to build up these ETD collections. It promotes quality management of ETD collections widely.

Edward Deming and J.M. Juan are the two people who gave birth to TQM. According to them, TQM strongly focused on clients while helping them to know their needs and meeting those needs exceeding their expectations. And also TQM facilitates commitment to quality and continuous improvement, adopting systematic and scientific approach to operations (Viljoen and Underwood, 1997).

ETDs are playing an important role in the university community. TQM methods are using widely in western countries to develop ETDs rather than developing countries.

TQM can be defined as -
Total – staff, suppliers, customers
Quality – quality of work, products
Management – quality of leadership

Main TQM Principles –
Plan (P)
Do (D)
Check (C)
Action (A)

When applying TQM methods for ETD collection, it can be divided into three categories as follows-
1. Exploring and planning
2. Processing and operating
3. Evaluating and improving

Using TQM methods for ETD development, library professionals can understand user’s expectations and they meet their expectations. It lowers cost of operation while improving the quality of ETD collection to attract and retain more university scholars.

“TQM is defined as a management method relying on the cooperation of all the members of an organization. A management method that centers on quality and on the long-term success of the organization through the satisfaction of the customers, as well as the benefit of all its members and society” (Information Resources Guide on TQM 2000-2005).

Extended Learning Initiatives with Institutional Repositories: Rising Tide Raises all the Boats
» Kamani Perera, Regional Centre for Strategic Studies
» Dinesh Chandra, Ministry of Defense, India

In this Internet era, modern libraries have taken initiation to extend their services through open access. Open access helps to distribute available resources freely.

This facility is a greater benefit to the developing country sector where scholars/students couldn’t access available information due to financial constraints. Open access system facilitates free access of information globally without any geographical barrier.
Developing Countries
Communities: Observations from institutional Repositories and university service to the developing nation scholars/students.
Journals and e-books for extended learning which is a greater source of current research information. Open access provides full text access systems in institutional repositories cut serious scarcity material acquisitions and administration. Development of open e-repositories. This way institutional repository can reduce costs of development during their free time. Modern e-repositories provide these distant learners can be part time scholars who use repositories during their free time. Modern e-repositories provide these scholars with quality, timely and relevant information electronically. This way institutional repository can reduce costs of material acquisitions and administration. Development of open access systems in institutional repositories cut serious scarcity of current research information. Open access provide full text journals and e-books for extended learning which is a greater service to the developing nation scholars/students.

Institutional Repositories and University Communities: Observations from Developing Countries
» Kamani Perera, Regional Centre for Strategic Studies
» Dinesh Chandra, Ministry of Defence, India

Institutional repositories have become lifeblood of university communities, thus improving and accelerating their scholarly work. When compare with traditional physical libraries, digital institutional repositories produce various types of information, which never met with traditional walls. Institutional repositories are facilitating more timely exchange of information among scholars and improve distance learning without any geographical barrier.

It supports teaching, learning and research while reaching unreachable without walls. Greater revolution has occurred in the university libraries recent past converting paper-based libraries to electronic based ones.

With the emergence of the World Wide Web and availability of national and global networks, university libraries have turned their attention to digital collections rather than building printed-based collection. In this way, librarian’s role dramatically changed and is responsible for what e-repositories available for their users and how users can access to the available information within the physical walls of the library or elsewhere.

Institutional digital repositories will ultimately lead to paperless society, which were earlier dominated by paper. The information super highway is today thought of as a revolutionary platform intended to form a network connecting computers globally.

The institutional repository is an information storage in which all the information resources are available in computer processable form and the functions of acquisition, storage, preservation, retrieval, access and display are carried out through the use of digital technologies.

The resources in institutional repositories can be divided in to those that are originally created in digital format such as e-journals, e-books, online databases and those originally non-digital resources such as manuscripts and prints that subsequently digitized. A repository can disseminate its information across a network and users can retrieve information in the same way.

The age-old concept of ownership of the traditional physical repositories now has been changed with access to digital repositories through the Internet connectivity.

Internet has now provided access to huge repositories that can be considered as a paperless, wall-less, distributed multi-access, digital libraries/repositories. Institutional repositories have become life blood of the university community without any geographical barrier.

Unexpected benefits of campus ETD implementation
» Marisa Ramirez, Robert E. Kennedy Library, California Polytechnic State University

During the 2007-2008 academic year, the Robert E. Kennedy Library at California Polytechnic State University (San Luis Obispo) led the campus transition from paper to electronic thesis implementation. In facilitating this transition, the Digital Repository Librarian was charged with identifying and consulting relevant campus and library staff to determine the impact on resources and procedures and to produce a road map with specific campus implementation recommendations.

A pilot was conducted to collect master’s thesis materials, to examine the existing information workflows and to conduct contextual inquiry interviews with system stakeholders. Several anticipated benefits resulting from this analysis included increased access and availability of graduate scholarship. More surprisingly, however, were unexpected benefits once implemented.

Our paper will reveal the unexpected benefits we discovered, including decreased workloads, increased institutional efficiencies and new opportunities for collaboration and updating of existing information workflows for the Library, the Research and Graduate Programs Office and various administrative campus entities.

As the ETD implementation celebrates its one year anniversary at Cal Poly, user feedback and additional new insights will be incorporated into the existing ETD structure. Successes from the ETD implementation will be applied towards the implementation of senior projects, a focus of our largely undergraduate institution.

etd @ Mason: A Collaborative Approach Using Dspace
» Sarah Patton, George Mason University

In Fall 2007 George Mason University began an optional ETD program. This venture involves librarians from three different areas within the library. The University Dissertation and Thesis (UDTS) Coordinator who is part of Special Collections and Archives, the Digital Repository Services Librarian who is part of the Systems Office, and a Special Formats Cataloger who is part of Technical Services.

Our institutional repository known as MARS (Mason Archival Repository Service) which uses DSpace was already in existence when this project began. The Digital Repository Services Librarian worked in conjunction with the UDTS Coordinator to determine the aesthetics of the etd @ Mason collection and what information would need to be gathered from students. The UDTS Coordinator submits all dissertations and theses to MARS along with all of the metadata.

Once completed the link to the MARS record is placed on the shared drive for the Special Formats Cataloger to harvest the Dublin Core record from the DSpace repository using OAI-PMH protocols. There are several steps before the record is uploaded to OCLC and exported to our local catalog. Together these three different units have worked to build the optional ETD program and we now have 61% of students opting to have their dissertation or thesis open access instead of on the library shelf.
Many areas of this project still need improvement. One of which is the continuing education of both students and faculty in regards to the pros of open access. Additional policies and procedures need to be finalized in regards to embargoes.

There should also be more conversations regarding a controlled vocabulary for use in MARS to exclude vague or general words that already appear in their title or abstract. In the future, we hope to allow students to deposit their dissertation or thesis into MARS and input all of the metadata with the UDTTS Coordinator approving the submissions.

**Theses Digitization: Institutional Repository Start-Up**

- Malgorzata Rozniakowska-Kloinska, IT and Digitization Department of the Technical University of Lodz Library
- Blazej Feret, Chief Librarian of the Technical University of Lodz Library

The Technical University of Lodz Library (Poland) has started the digitization project of theses dated from the beginning of its mother university existence till the nineties. Converting old, sometimes even not legible, mostly typewriter-typed documents into digital fully searchable version was a real challenge.

Doing printed copies electronically accessible to the users as a result of digitization and using the advanced optical character recognition techniques, were the priority objectives of the project.

The next very crucial goal was to explore available repositories software packages platforms like ePrints, DSpace, Fedora and others in terms of their usability. The decision was made to implement DSpace in Linux environment.

The paper discusses a lot of topics: what is the best way to present such digitized information, how should be preserved the digitized information from paper theses, which metadata scheme be chosen, what lessons were learnt and experience picked up during the project and finally what are the implications for the further institutional repository development.

**ETDs, IRs, Collaborations, and Access at Florida State University**

- Plato Smith, Florida State University

Objective: The poster presentation will use text and images to describe the electronic theses and dissertations (ETD), institutional repositories (IR), collaborations, and access at Florida State University (FSU). The ETDs include current and retrospective digitized FSU theses and dissertations; institutional repositories include etd-db and DigiTool platforms; collaborations include the FSU Graduate School, FSU Undergraduate Honors in the Major Department, and Florida Center for Library Automation (FCLA); access includes open access (etd-db), campus-community only (etd-db), and restricted (DigiTool).

Recent FSU ETD policies and guideline changes, copyright issues, and staff changes have impacted open access ETDs at FSU thus resulting in introducing campus-community only access option for FSU ETDs using the etd-db platform in Fall 2008 and Internet Protocol (IP) for retrospective digitized theses and dissertations using the DigiTool platform.

Methods: The poster presentation will document the history of ETDs at FSU from introduction in Fall 2003 to growth of retrospective digitized ETDs from 2005-2008 to campus-community only access option for FSU ETDs in Fall 2008 and IP restriction for retrospective digitized theses and dissertations collections in 2009 to future plans for ETD preservation via Florida Digital Archive (FDA) and MetaArchive (LOCKSS) in 2009 with text, images, and screen shots.

Results: The FSU Graduate School requested campus-community and ETD PDF document security options for FSU ETDs starting in Fall 2008. The FSU ETD policies and guidelines that introduced these options were developed by the FSU Graduate School and FSU Libraries Digital Library Center and then approved by the FSU Graduate Policy Committee for Fall 2008 implementation. Since retrospective digitized theses and dissertations did not include retrospective digitized access agreement forms, senior leadership recommended IP restriction for all FSU retrospective digitized theses and dissertations in 2009.

Conclusions: Open access concerns from the FSU Creative Writing department prompted the FSU Graduate School to request the campus-community option for FSU ETDs starting in Fall 2008 and copyright concerns from new senior leadership in FSU Libraries prompted IP restriction for retrospective digitized FSU theses and dissertations.

The etd-db platform server was upgraded from 60 GB to over 130 GB and the DigiTool platform was migrated from a single implementation to a FCLA consortia implementation. Communication between major stakeholders, managerial oversight from graduate policy committee, FSU Libraries, and institutional support contributed to the development, revisions, and current FSU ETD policies and guidelines.

**Status and Challenges of Developing ETDs in Ethiopia: the case of Addis Ababa University**

- Netsanet Animut Nigussie, University Librarian, Addis Ababa University

Addis Ababa University (AAU) is the oldest and largest University in Ethiopia with more than 50,000 students (both graduate and undergraduate). The University is currently engaged in an ambitious plan of expanding graduate programs at Masters and PhD levels in different disciplines.

The University has started a pilot African ETD program in collaboration with the University of Witwatersrand. As part of this program, AAU runs a training workshop for librarians and researchers coming from all higher learning institutions in Ethiopia.

Following the workshop, Addis Ababa University has implemented DSpace and currently populating full-text thesis and dissertation (around 300 full-text thesis and dissertation has already been entered into the database). A server and scanner have also been secured through donation for the National ETD Repository, which is initiated by Addis Ababa University.

This paper will cover the current status, opportunities, challenges, and future direction of EtDs in Ethiopia.

**The establishment of an ETD in Azerbaijan @ Khazar University**

- Tatiana Zayseva, Library and Information Center, Khazar University
- Lala Hayibayova, School of Library and Information Science, Indiana University in Bloomington

About the development of OA to electronic thesis and dissertations in the former Soviet Union developing countries little is known. This paper presents an exploratory overview of the situation in Azerbaijan. Institutional repositories provide universities in developing countries with a good avenue to disseminate their intellectual output to the outside world.

The OA movement has not yet permeated the academic research environment. Azerbaijan University libraries have not begun to practice or promote institutional repository or are at a very
National repositories of ETDs and Grey Literature in Czech Republic

Jan Mach, Library, University of Economics in Prague
Iva Horová, Library, Academy of Performing Arts in Prague

Until the last year there was no access to ETDs on the national level in the Czech Republic. Potential users were left with fragmented sources of varying quality. In 2004 an initiative of university librarians lead to the foundation of the ETD Working Group (WG, www.evskp.cz) in the framework of the Association of Libraries of Czech Universities (www.akvs.cz/en/).

The WG set up goals and started systematic work to prepare conditions to establish a national register. The situation significantly changed after 2006 when the Higher Education Act, as amended, provided for an obligation to make ETDs accessible for the public.

Last year two projects on digital repositories were introduced in the Czech Republic - The National Register of Thesis with plagiarism detection system (2008) and The Digital Library for Grey Literature (2008-2011). The poster presents preparation and functions of both repositories and it aims, standards and the metadata used.

The WG needed to set the metadata used nationwide, allowing publishing in the international repositories. Therefore they prepared three Czech XML standards to describe ETDs including fulltexts, persons and corporations on the basis of DC, DC terms, ETD-MS and XMetadiss formats.

The standard prepared as a working paper in 2006, started to be widespread at Czech universities and significantly contributed to harvest the ETDs retrospectively.

All the three standards are to be used to describe the Czech grey literature in the Digital Library. The WG in cooperation with the Academy of Performing Arts in Prague are working on a solution to integrate the non-text ETDs (audio, video etc.) into the project as an equivalent of text materials.

The poster offers the best practices for similar consortium projects, problems and their solutions learned in collaboration on the national level, by preparing licences, workflows and standards used nationwide in the Czech Republic.

Health Information Literacy Among Resident Doctors of an Indian Tertiary Care Medical Institute

Raj Kumar, PGIMER

Background: Health Information Literacy is the set of abilities needed to: recognize a health information need; identify likely information sources and use them to retrieve relevant information; assess the quality of the information and its applicability to a specific situation; and analyze, understand, and use the information to make good health decisions.

Objectives: The present study was conducted to determine the information literacy skills of resident doctors of the Postgraduate Institute of Medical Education and Research’s Chandigarh. The curriculum design and priorities for promotion of information literacy are to be set for patient care and research.

Methodology: Data was collected by using the pre tested Questionnaire from the resident doctors of the institute. Analysis of the data was done by using the SPSS computer software.

Results: A sample of 236 respondents comprising of 96 senior residents and 140 junior residents using information technology services in the library was taken in the study. It was found from the total respondents that, 75.7% had attended orientation lecture delivered by the library professionals.

Conclusions: Information Literacy can be included in the curricula at various levels of medical education in the form of networks, e-resources, e-journals consortia, medical databases and internet resources, etc. by utilizing the existing Information Technology infrastructure.
These barriers are formidable challenges for Science, Technology and Medicine in LDC. Open Access (OA) provides a means of reducing the impact of these barriers.

OA facilitates accessing and communicating information beyond journal subscriptions. Despite many opportunities available to facilitate OA in LDC, participation remains low. NDLTD membership from Asia, Latin America and Africa is less than 4%, while IR on Dspace account for 29%. Although LDC can benefit from tools freely available for OA to improve research communication, these benefits are not fully realized.

Clearly, some issues cannot be resolved within communities such as NDLTD. However, sharing expert knowledge, guidance, and technical support and mentorship programs can strengthen the capacity of LDC to utilize free resources. Ultimately, this will result in reduction of the research information barriers in these areas for LDC.

The ETD Journey of University of the Western Cape in South Africa: Benefits, workflow, navigation processes and alignment to institutional repositories

» Pateka Matshaya, University of the Western Cape, South Africa

The University of the Western Cape established its electronic thesis and dissertation project in 2004. A lot of progress took place ever since the project inception especially with reference to project marketing, governance and navigation of the database by university community and the world-wide communities.

Much as the project was established immediately after the national visit of Virginia polytechnic Professor, the University of the Western Cape unlike other universities in the country, it developed its own in-house software that shares similar specifications with NDLTD software.

Currently the Library has over than 500 Electronic Thesis and Dissertations on the catalogue with navigation exploited by researchers and scholars from more than 15 countries a day with about 10 000 downloading a month.

To evaluate the database performance each ETD title has a built-in counter to determine records usage statistics. The poster session will outline the ETD workflow of the University of the Western Cape with special reference to governance issues (policies, copyright, record uploading, navigation options and portal maintenance.) A brief outline of the ETD project in South Africa with issues such as software in use, funding, national trainings, and project alignment to institutional repositories will be discussed.

In conclusion as the project is facilitated through the Library but hosted in the university computer centre it is of utmost importance for the library to have guaranteed assurance of database back-up in case of emergencies. The poster will therefore give accounts on how this matter could be handled by use of service level agreements between two departments namely (library and computer services).

Introduction to ETD Project at IIU

» Yaqub Ali, International Islamic University, Central Library

The foundation of the University was laid on November 11, 1980. The University was upgraded, restructured and reconstituted by the President of the Islamic Republic of Pakistan in March 1985. Currently with nine (9) faculties and six (6) autonomous academies, institutes and centers, the University is conducting around ninety (90) academic programs with an enrollment of over 17,000 students that includes around 7000 female students. In addition around 2,000 are enrolled in the Iqra Technical Centre, a constituent unit of the University.

The ETD project was conceived in 2007 by inspiration from Pakistan Research Repository launched by Higher Education Commission (HEC) of Pakistan and simultaneously West Virginia University (WVU). A proposal was made keeping in view the experiences of HEC and WVU. The proposal defines the project in three phases. The first phase was aimed at to cover the digitization of approximately 6000 theses of Graduate programs in Arabic and English. In the second phase, electronic submission of theses and publishing these documents on the web for open access.

Support and technical training is being provided to students, staff, and faculty in how to create documents as PDF (Portable Document Format) files, accepting ETDs and some technical training in how to identify problems in a PDF document.

Currently we the number of digitized theses has crossed 850 mark at the approximate rate of 9 theses per day. We have also received 43 soft copies directly by students’ submission.

The project is going on smoothly hence there are challenges as reservation about copyright, threats of plagiarism, power breakdown in the country, storage of digital data & backups and hesitation to work in electronic environment.
Current ETD practices and workflows in North Carolina

Mary G. Early and Anne Marie Taber
The Graduate School and the University Libraries,
University of North Carolina at Greensboro

Introduction
The authors, from different departments at one university, both showed up at an OETDA conference without knowing the other was attending. We asked each other if the Libraries and the Graduate School might benefit from greater communication, and then: How do other institutions offering electronic theses and dissertations (ETD) handle the inter-departmental communication and collaboration needs of such programs? This study examines current practices among ETD administrators in North Carolina and in current national literature, with special attention to communication, collaboration, workflows, and divisions of labor.

Methods
Survey: A brief, 15-question survey went to twenty-three individuals identified on institution’s web sites as involved in the ETD process.

Literature review: We surveyed current (since 2003) library and higher education articles on collaboration, workflows, and divisions of labor.

Findings
Overview: Thirty-seven NC institutions offer at least one advanced degree; most require a thesis or dissertation. Thirteen (35%) accept or require electronic submission. Our survey went to twenty-three email addresses at those thirteen.

Question: Which personnel perform what ETD tasks?
We asked for position titles, not names, but departments might have been the more useful information. Our chart color-codes for department when that could be determined. ETD tasks are evenly split between graduate schools and other areas, with libraries strongly represented. (Archives is color-coded as library.) Notable: one institution’s grad school executive assistant is responsible for every ETD task. And, had we asked respondents to specify the “other” tasks, we would know what a digital repository librarian does with ETDs at another school.

Figure 2. Is electronic required?

Figure 3. Departments involved

Question: Describe collaboration and communication
25% choose “none,” 50% say “frequent,” and all respondents rate communication and collaboration identically. Their importance in developing programs shows in the literature and in a respondent’s comment: “We established an ETD working group that met several times a semester in the beginning; less frequent now that the process is up and running smoothly.”

Conclusion
This survey reveals the variety of structures and procedures in ETD programs in NC, but also many commonalities; like primary involvement of both graduate school and library, immediate public access, converging trends in digital storage, and written procedures or workflows. Results also show language issues caused respondents to interpret questions differently than we had intended. Future research could more accurately pinpoint ETD processes in the detail necessary to make more specific recommendations for improvement. Still, no matter the variety of systems for managing ETDs, or how automated or mature the program, clearly it remains imperative that departments establish and maintain a regular dialogue to share perspectives, new ideas and technologies, and suggestions for improvement.

Figure 1. Survey participants

Figure 4. Divisions of labor in NC ETD programs

Figure 5. Communication & collaboration

Figure 6. Uploads
Open Access is the cornerstone of the open knowledge movement. For much of human history knowledge was a gift and even a necessity for preserving history, faith, health, and scientific discovery, shared openly without an explanation of compensation. Knowledge was recorded for posterity, often with no commercial intent. The invention of movable type and printing presses introduced the concept of a knowledge mass market, and knowledge eventually became known as a commodity to be sold, marketed, or even given away when embedded advertising. Commercial publishing expanded the quantity and availability of printed knowledge, while copyright laws protected the author and publisher’s monopoly over distribution, reproduction, and performance. Libraries and Universities have historically expanded access and asserted free, unencumbered access to knowledge for all visitors and leaders, though the growth of academic and public libraries are limited by budgets constraints. The existence of a networked digital library of theses and dissertations asserts a right of public access, fair use, and the existence of non-commercial interests supporting the public good. The 21st century rapid expansion of the digital scholarship movement and access to electronic theses and dissertations empowers readers everywhere to consider how much we take for granted in a world offering more and more open access. There are dramatic, entertaining, and inspiring stories we hope you can share about how open access to academic scholarship furthered both student, institutional and commercial success. NDLTD is sponsoring a 2009 youtube contest, open to the global academic community.

OCTOBER 19-23, 2009

www.youtube.com/group/etd2009
Exploratory Research Questions

Research Questions

Organizations like the World Bank, the European Bank for Reconstruction and Development, the Asian Development Bank, Inter-American Development Bank and the African Development Bank work with country governments, non-governmental organizations and knowledge domain experts to develop Country Assistance Strategies for client countries. A topical source of knowledge would be the country's academic institutions. The purpose of this exploratory research is to understand to what extent the Country Assistance Strategy development process leverages in-country academic knowledge, and the alignment or lack thereof of in-country academic research with country development strategies.

The World Bank prepares a Country Assistance Strategy (CAS) for active borrowers from the International Development Association (IDA) and the International Bank for Reconstruction and Development (IBRD). The CAS takes as its starting point the country's own vision for its development, as defined in a Poverty Reduction Strategy Paper or other country-owned process. Oriented toward results, the CAS is developed in consultation with country authorities, civil society organizations, development partners, and other stakeholders. The purpose of the CAS is to set out a selective program of Bank Group support linked to the country's development strategy and based on the Bank Group's comparative advantage in the context of other donor activities. CASs are designed to promote collaboration and coordination among development partners in a country.

The CAS includes a comprehensive diagnosis—drawing on analytic work by the Bank, the government, and other partners—of the development challenges facing the country, including the incidence, trends, and causes of poverty. The CAS identifies the key areas where the Bank Group's assistance can have the biggest impact on poverty reduction. In its diagnosis, the CAS takes into account the performance of the Bank's portfolio in the country, the country's creditworthiness, state of institutional development, implementation capacity, governance, and other sectoral and cross-cutting issues. From this assessment, the level and composition of Bank Group financial, advisory, and technical support to the country is determined.

How is a Country Assistance Strategy Reaffirmed?

After analytical work is conducted, the borrower and the Bank produce strategies and priorities for reducing poverty and improving living standards. Identified projects can range across the economic and social spectrum from infrastructures, to education, to health, to government financial management. World Bank's external website - http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/0,,contentMDK:20120746~menuPK:51551~pagePK:41367~piPK:51533~theSitePK:40941,00.html

Where Does Knowledge Come From For a CAS?

The World Bank's knowledge base in a particular country is acquired through economic sector work and the analysis it generates. Economic and Sector work means that in-country staff gathers and evaluates information (data and statistics) about the existing economy, and/or government and social services systems. The economic data and statistics collected provide a starting point for policy discussions with our borrowers and helps build a country's ability to evaluate, for example, its economic and social policies, financial, management and program delivery systems, physical and human infrastructure needs, and governance practices. In general, a CAS is prepared by the Country Team, at Headquarters and in country, the country government, NGOs and other development organizations. World Bank's external website - http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/0,,contentMDK:20120720~menuPK:235710~pagePK:41367~piPK:51533~theSitePK:40941.html

The Research Context

What is a Country Assistance Strategy?

The World Bank prepares a Country Assistance Strategy (CAS) for active borrowers from the International Development Association (IDA) and the International Bank for Reconstruction and Development (IBRD). The CAS takes as its starting point the country's own vision for its development, as defined in a Poverty Reduction Strategy Paper or other country-owned process. Oriented toward results, the CAS is developed in consultation with country authorities, civil society organizations, development partners, and other stakeholders. The purpose of the CAS is to set out a selective program of Bank Group support linked to the country's development strategy and based on the Bank Group's comparative advantage in the context of other donor activities. CASs are designed to promote collaboration and coordination among development partners in a country.

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Academic Research Input

No evidence of any university involvement in the CAS document.

Topical Focus of CAS and Project Documents


Research Universities: 130 In Country, Heavy Math and Engineering Focus. Major universities are listed below. There is strong alignment between CAS and in-country research.

- Universidad de Alcalá
- Universidad Rey Juan Carlos
- Polytechnic University of Valencia
- University of Sevilla
- University of Barcelona
- University of Granada
- Carlos III University of Madrid
- University of Alcalá
- University of Oviedo
- University of Zaragoza
- University of Murcia
- University of Castilla-La Mancha
- University of Extremadura
- University of Extremadura
- University of Salamanca

Observations

Of the seven countries sampled, only three had any evidence of involvement of academic institutions in the preparation of the Country Assistance Strategy – Argentina, Brazil and India.

Whether academic expertise is leveraged may have to do with the state of higher education in the country, as may be the case in Cambodia or Liberia. However, in others such as Algeria and Ghana, the role of involvement is unclear from the documentation available.

There may be a regional strategy that promotes involvement of academic experts, for example the two countries in the sample from Latin America and Caribbean both included universities in the preparation and consultation steps. The university communities clearly have expertise aligned with the CAS focus.

There is an opportunity to increase the visibility of in-country academic research to those involved in the preparation.

One thing seems clear from the limited review represented here – fostering greater collaboration with academic institutions and professional associations in the strategy development appears to be underutilized.

Increased access to and coverage of dissertations and theses in member countries might encourage the use of these experts and their research in the CAS preparation and project design and implementation.

Country Reviews

Algeria

Academic Research Input: No evidence of any university involvement in the CAS document.

Topical Focus of CAS and Project Documents:


Research Universities: 130 In Country, Heavy Math and Engineering Focus. Major universities are listed below. There is strong alignment between CAS and in-country research.

- Université de Tlemcen
- Université de Boumerdès
- Université de Blida
- Université de Annaba

Brazil

Academic Research Input: Evident in CAS and Project Documents

Topical Focus of CAS and Projects:


Research Universities: 95 major universities, with over 500 colleges and universities. There is strong alignment between the research focus and the CAS and project documents.

- Universidade Federal de Santa Catarina
- Universidade Federal de São Paulo
- Universidade Federal Fluminense
- Universidade Federal do Rio de Janeiro
- Universidade Federal de Rio Grande do Sul
- Universidade Federal de Minas Gerais
- Universidade Federal de Goiás
- Universidade Federal de Pernambuco
Brazil, where?

Maps and info on Brazil are from IBGE – Instituto Brasileiro de Geografia e Estatística
http://www.ibge.gov.br/

ETDs in Brazil 2001 - 2009
Ana Pavani
Laboratório de Automação de Museus, Bibliotecas Digitais e Arquivos
Departamento de Engenharia Elétrica
Pós-Graduação Universidade Católica do Rio de Janeiro
Brazil
apavani@lambda.ele.puc-rio.br
http://www.maevep.lambda.ele.puc-rio.br/

Area: 8,514,876,599 km²
2007 – 180,907,291 (est)

Literacy map in 2000

ETD Programs before 2001 (*)

(*) In 2001 the nat’l consortium – BDT – was created

Biblioteca Digital de Teses e Dissertações
http://bdtd.lbibot.br/
created in 2001

ETD Programs in Dec 2004
Number of programs: 10
Number of ETDs: 5,394

ETD Programs in May 2009
Number of programs: 78
Number of ETDs: 86,300+
ETDs facilitate more timely exchange of information among scholars and improve distance learning without any geographical barrier. It supports teaching, learning, and research.

Greater revolution has occurred in the libraries recent past converting paper-based libraries to electronic based ones. With the emergence of WWW and availability of national and global networks, universities and libraries have turned their attention to ETDs rather than building printed-based TD collection. In this way, librarian’s role dramatically changed and is responsible for what ETDs available for their users and how users can access to the available information within the physical walls of the library or elsewhere for scholarly communication.

ETDs can be defined as theses and dissertations which are submitted in electronic format and facilitate use of multimedia, reference linking while accessing electronically. TQM methods can be applied to build up these ETD collections. It promotes quality management of ETD collections widely. Edward Deming and J.M. Juan are the two people who gave birth to TQM. According to them, TQM strongly focused on clients while helping them to know their needs and meeting those needs exceeding their expectations. And also TQM facilitates commitment to quality and continuous improvement, adopting systematic and scientific approach to operations (Viljoen and Underwood, 1997).

ETDs are playing an important role in the university community. TQM methods are using widely in western countries to develop ETDs rather than developing countries.

TQM can be defined as -

**Total**
- Staff
- Suppliers’
- Customers

**Quality**
- Quality of work
- Products

**Management**
- Quality of leadership

**Main TQM Principles –**
1. Exploring and planning
2. Processing and operating
3. Evaluating and improving

When applying TQM methods for ETD collection, it can be divided into three categories as follows-

- Exploring and planning
- Processing and operating
- Evaluating and improving

Using TQM methods for ETD development, library professionals can understand user’s expectations and they meet their expectations. It lowers cost of operation while improving the quality of ETD collection to attract and retain more university scholars.

‘TQM is defined as a management method relying on the cooperation of all the members of an organization. A management method that centers on quality and on the long-term success of the organization through the satisfaction of the customers, as well as the benefit of all its members and society’ (Information Resources Guide on TQM 2000-2005).
In this Internet era, modern libraries have taken initiation to extend their services through open access. Open access helps to distribute available resources freely. This facility is a greater benefit to the developing country sector where scholars/students couldn’t access available information due to financial constraints. Open access system facilitates free access of information globally without any geographical barrier.

Digital institutional repositories improve the ability to use and reuse of its stored data eventually. Explosive growth of e-generated information can be accessed instantly via institutional repositories for extended learning. Modern information communication technologies (ICTs) facilitate to discover information automatically and establish links between related documents to form of value chain of scholarly communication. It will help to provide more dynamic extended learning service to the scholars/students worldwide. Institutional repositories provide vital academic background for extended learning. Scholars/students can access data from remote locations. Institutional repositories support all scholarly users uniformly cutting boundaries to meet their scholarly needs.

Distant learners can be part time scholars who use repositories during their free time. Modern e-repositories provide these scholars with quality, timely and relevant information electronically. This way institutional repository can reduce costs of material acquisitions and administration.

E-generated Information

Development of open access systems in institutional repositories cut serious scarcity of current research information. Open access provide full text journals and e-books for extended learning which is a greater service to the developing nation scholars/students.

Extended Learning through Internet

Technical Preservation (PDF/JPEG)

http://www.twq.com/08autumn/docs/08autumn_flournoy.pdf
Web URL has given for Online Access
Accession No. (eg.7959) has given for Offline Access
Beyond Access: The Added Value of Electronic Thesis Implementation

Marisa Ramirez, Digital Repository Librarian, California Polytechnic State University

Background
In Fall 2008, the Robert E. Kennedy Library at California Polytechnic State University (San Luis Obispo) transitioned from collecting paper to electronic theses. Key administration and library staff were consulted to determine the impact on resources, workflows and procedures. Campus partners included the Research & Graduate Programs Office and the Graduate Coordinators from the colleges.

Stakeholders
Utilizing contextual inquiry (one-on-one observations of work practice), campus partners, library leadership and staff provided insight into the existing thesis submission workflow. A collaborative electronic thesis pilot between the Library and the Research and Graduate Programs Office brought to light technical and procedural issues requiring further attention.

Implementation
A final ETD implementation plan provided specific workflow and recommendations. Using Berkeley Electronic Press’ repository software, a submission and management framework was developed for electronic thesis submission. The Library and the Research and Graduate Programs Office revised policies, procedures and websites to include new submission guidelines and forms.

Implementation Benefits

For Students
• Elimination of out-of-pocket costs for binding and paper
• Increased transparency of the submission process
• Exposure to electronic publishing issues including copyright and embargos
• Greater visibility, discoverability and use of content

For Campus Partners
• Increased thesis formatting compliance and faster turnaround for degree-posting
• New opportunities for outreach and collaboration with faculty & campus units
• Strengthened connections with new alumni
• Institutional showcase of graduate scholarship

For Library
• Efficiencies realized in internal and external workloads, workflows, roles and responsibilities
• Collaborative ties strengthened with university research and administrative groups
• Opportunity to extend awareness of copyright and scholarly communication issues

Additional Resources
etd @ Mason
A Collaborative Approach Using DSpace

By: Sarah Patton, University Dissertation and Thesis Coordinator/Librarian
George Mason University

UDTS Coordinator/Librarian
- Review formatting of dissertations/theses
- Explain submission options
- Handle final submissions and liaison with registrar’s office
- Upload electronic submissions to MARS and enter all metadata
- Process UMI/ProQuest and SED paperwork
- Initiate changes to policy

Special Formats Cataloging Librarian
- Harvest Dublin Core from DSpace using OAI-PMH protocols
- Run record through crosswalk into MARC
- Import record into OCLC Connexion and run macros
- Catalog item following MARC
- Add LC Subject Headings
- Upload to OCLC and export to local catalog

Digital Repository Services Librarian
- Add new metadata scheme to MARS to support NDLTD specific fields
- Create etd @ Mason collection and sub collections
- Insert embargo option into DSpace code
- Trouble shoot system and modify as needed
- Edit and replace bitstreams
- Assist with additional supplemental files

Problems
- Access for UDTS Coordinator/Librarian
- Time Consuming
- No controlled vocabulary for keywords
- Optional Program

Possible Improvements
- Students upload and enter metadata
- Limitations of DSpace (Dublin Core)
- Limiting to Mason only
- Embargoes
- Policy Issues

Electronic vs. Traditional Submission
Both the Technical University of Lodz (TUL) and Library were founded in 1948; the library had been on 24th May and four months later the Library’s.

The Library began to offer its services:
- with the collection of 900 volumes,
- a reading room,
- a library office.

At the end of 1995, the first Library homepage appeared on the Internet (http://www.tul.edu.pl) with a variety of library information and services.

The TUL, a leader in the digital age, has more than 350,000 students and is registered in doctoral studies. Since 1945 till 2008 Library has gathered over 36,000 of printed copies of the Technical University of Lodz PhD theses.

PhD theses of the present TUL researchers, who had PhD defences at TUL (see Fig. 2),

PhD theses of the present TUL researchers, who had PhD defences outside the TUL.

The TUL Library Collections of books, are organized in two collections:

- Scientific Books Collection
- Student Books Collection

The TUL Library Collections are Periodicals Collection (over 131,000 items).

The TUL Library Special Collections should be mentioned as well, these are:
- patent specifications (over 650,000 items).
- conference proceedings (over 4,000 items).
- commercial catalogues with technical specifications (over 1500 items).
- audio-visual materials;
- CD-ROMs;
- reference collection (dictionaries, handbooks, other information resources).

Over many years, the TUL Library has been delivered access to the wide offer of electronic resources. At the end of 2007, the TUL Library had access to 10,000 electronic databases (35 were next year continuation). In total, over 37 000 periodicals titles and 850 books is accessible.

The TUL Library Electronic Resources should be mentioned as well, these are:
- electronic databases (over 37,000 titles).
- electronic theses (over 500,000 items).
- electronic catalogues with technical specifications (over 1500 items).
- audio-visual materials;
- CD-ROMs;
- reference collection (dictionaries, handbooks, other information resources).

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- electronic catalogues with technical specifications (over 1500 items).
- audio-visual materials;
- CD-ROMs;
- reference collection (dictionaries, handbooks, other information resources).
ETDs, IRs, Collaborations, and Access at Florida State University

Abstract

Electronic Theses, Treatises and Dissertations was formally implemented at Florida State University in Fall 2003. The poster presentation will use text and images to describe the Electronic Theses, Treatises and Dissertations (ETD), institutional repositories (IR), collaborations, and access at Florida State University (FSU). The ETDs include current and retrospective digitized FSU theses and dissertations; institutional repositories include etd-db and DigiTool platforms; collaborations include the FSU Graduate School, FSU Undergraduate Honors in the Major Department, and Florida Center for Library Automation (FCLA); access includes open access (etd-db), campus-community only (etd-db), and restricted (DigiTool). Recent FSU ETD policies and guideline changes, copyright issues, and staff changes have impacted open access ETDs at FSU thus resulting in introducing campus-community only access option for FSU ETDs using the etd-db platform in Fall 2008 and Internet Protocol (IP) for retrospective digitized theses and dissertations using the DigiTool platform.

ETDs (Electronic Theses, Treatises & Dissertations)

- 2003-Present FSU ETDs – 3132
- 1952-2002 Dissertations – 9096 (Purchased from ProQuest)
- Retrospective digitized theses – 577
- Undergraduate honors theses – 2025+

IRs (Institutional Repositories)

- etd-db platform – 2003 – Present (Graduate ETDs)
- DigiTool platform – 2004 – Present (Retrospective digitized theses and dissertations, & undergraduate honors theses (current & retrospective))

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- Mark Stoffan, FSU Libraries Associate Director for Technology
- Priscilla Caplan, FCLA Assistant Director for Digital Library Services
- Jami Babb, ProQuest Author/School Relations Specialist
- Lewis “Buddy” Kreutzer, ProQuest Electronic Acquisitions Specialist

= Collaborations with campus and non-campus partner(s)
= FSU Libraries chiefly responsible for developing and/or maintaining access and preservation initiatives

•Develops and implements policies & documents for all FSU The Graduate School ETDs
•Reviews/Approves ETDs
•Determines access upon ingest into etd-db platform
•Sends ETDs Access & ProQuest documents to FSU Libraries

•Purchased DigiTool Admin as part of FCLA DigiTool consortium
•Migrated all FSU DigiTool digital content to FCLA
•Developed FDA/FSU agreement
•Provides enhanced workflows
•Provides DigiTool/FDA training
•DigiTool/FDA partner – will preserve FSU ETDs in the future
Institutional Repositories and University Communities: Observations from Developing Countries

Kamani Perera - Regional Centre for Strategic Studies, Sri Lanka
Dinesh Chandra - Ministry of Defence, India

Institutional repositories have become lifeblood of university communities, thus improving and accelerating their scholarly work. When compared to traditional physical libraries, digital institutional repositories produce various types of information, which never met with traditional walls.

Institutional repositories are facilitating more timely exchange of information among scholars and improving distance learning without any geographical barrier. It supports teaching, learning and research while reaching unreachable without walls. Greater revolution has occurred in the university libraries recent past converting paper-based libraries to electronic based ones. With the emergence of WWW and availability of national and global networks, university libraries have turned their attention to digital collections rather than building printed-based collection. In this way, librarian’s role dramatically changed and is responsible for what e-repositories available for their users and how users can access to the available information within the physical walls of the library or elsewhere.

Institutional digital repositories will ultimately lead to paperless society, which were earlier dominated by paper. The information super highway is today thought of as a revolutionary platform intended to form a network connecting computers globally. The institutional repository is an information storage in which all the information resources are available in computer processable form and the functions of acquisition, storage, preservation, retrieval, access and display are carried out through the use of digital technologies. The resources in institutional repositories can be divided into those that are originally created in digital format such as e-journals, e-books and online databases and those originally non-digital resources such as manuscripts and prints that subsequently digitized.

A repository can disseminate its information across a network and users can retrieve information in the same way. The age-old concept of ownership of the traditional physical repositories now has been changed with access to digital repositories through the Internet connectivity. Internet has now provided access to huge repositories that can be considered as a paperless, wall-less, distributed multi-access, digital libraries/repositories. Institutional repositories have become lifeblood of the university community without any geographical barrier.

ETD 2009: Bridging the Knowledge Divide – ETDs, Institutional Repositories and Open Access – Integrative E-Learning Processes in Higher Education
Addis Ababa University Libraries Electronic Thesis and Dissertations System
Presented by Netsanet Animut

☐ The AAU Libraries Electronic Thesis and Dissertations system is adopted from DSpace open source digital library software has more than 3,000 title of thesis and dissertations in its database.

☐ The digital library provides the service with a full text access right for the University community

☐ The digital library encompasses more than 15 faculties, colleges, schools and institutions

☐ The digital library can be accessed either from http://etd.aau.edu.et/dspace/ or from the University Library website http://www.aau.edu.et

Basic Features

☐ A comprehensive search facility: keyword, author, advisor, title, subject, and series title

☐ Accepts all types of digital formats

☐ Submission process allows for the description of each item using a qualified version of the Dublin Core metadata schema

☐ Allows limiting access to items in the software

www.aau.edu.et/libraries
infoilib@lib.aau.edu.et
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The Establishment of an ETD at Azerbaijan @Khazar University

Introduction

Institutional repositories provide universities in developing countries with a good avenue to disseminate their intellectual output to the outside world. The OA movement has not yet permeated the academic research environment. Azerbaijan University libraries have not begun to practice or promote institutional repository or are at a very early stage of it. There is yet one open access institutional repository in Azerbaijan.

We present a case study of repository development at the Khazar University (one of the leading academic universities in Azerbaijan) order to discuss key issues faced. One of the main goals of this repository is to harvest theses at all levels - bachelors' and masters' papers, PhD dissertations.

First ETD Initiative in Azerbaijan - Khazar University Institutional Repository:

Khazar University institutional repository (KUIR) is the first electronic archive in Azerbaijan was implemented at the end of 2008. KUIR is suite of services offered by the Khazar University Library information Center (KULIC), in support of the university’s researchers.

ETD Policy

KULIC has created ETD archiving policies. Our goal was to align the commitment and the resources to maintain these online information resources over time. KULIC stores and preserves Khazar University's theses and dissertations in all formats. The University Archives, a unit within the department, has traditionally archived these works received in paper and bound. It is now appropriate to document our parallel standards, policies and procedures for electronic theses and dissertations (ETDs).

Each academic department determines the quality of the work of its students, while the individual thesis/dissertation committees approve the student’s work on its own merits. Khazar University Schools primarily oversees mechanical considerations, the purpose of which is to provide a degree of uniformity, to assure that each thesis or dissertation is in a form suitable for reading and viewing online and that it can be preserved.

With digital materials we can give access and simultaneously prolong the life of the work. This is not possible with other, non-digital media. We can ensure the durability of the present through stability of the means of mediation.

Current Collections in IR

- Outstanding Academic Papers
  - Theses on all levels – bachelors' and masters' papers, PhD dissertations.

E-theses collection into KUIR

KULIC chose to create E-theses collection into KUIR for the following reasons:

1. DSpace IR is OAI-PMH complaint.
2. By publishing the theses in the Internet, more authors of the past, present and future would be likely to grant the access rights to digitize and distribute their theses.
3. Long term preservation.
4. Digitizing theses together with other student works under IR enables a one-stop search for all quality student and staff works. This provides a unified platform to showcase the academic achievements of KULIC communities.

Hierarchy Of E-theses Collections In KUIR

The E-theses in DSspace are organized in a hierarchy of community, sub-communities and collections. The top community is Electronic Theses and Dissertations. Under the top community, there are sub-communities created for departments. Under each sub-community, there are collections created for degrees (Ph.D., M.Phil., M.A., M.Sc. etc.)

ETD e-submission

- Innovative process for Khazar University
- Plan to establish new procedure for the academic-scientific community regarding ETDs, e-submission and self-archiving
- We are still waiting for the community’s reaction...

Future steps for e-submission

- Web-based e-submission form will be including online help in Azeri and English

Access Rights

As most existing theses were submitted before the electronic submission requirements issued in 2008, due to unclear access right policies in the past, a number of theses can not be opened for academic exchange or for the public. To obtain permission from authors, in 2009 the LIC will send letters to alumni to ask for approval. By providing a publishing platform in IR, it is likely that more authors will agree to grant rights to digitize and distribute their theses.

Conclusion

The Library is in the process of migrating the E-theses collection from the old print version and new electronic interface to the KUIR developed in DSspace. There are many advantages of relocating E-theses from traditional collection to the new home. Records can be harvested by Internet engines easily via OAI. Research outputs of students and staff will be more visible. Searching and display of records are enhanced. Authors of the old theses will be likely to grant access rights to the Library once their theses are published in a more visible platform. All quality student works can be searched in a single platform. Lastly, by adding E-theses into IR, it provides a boost to the content of IR. The increased usage and collections will help to promote IR to other academic communities of the Khazar University.
National Repositories of ETDs and Grey Literature in the Czech Republic

PROJECTS

The National Registry of Grey Literature (NRGL)

http://nrgl.stk.cz

The State Technical Library in Prague (STL) in collaboration with the University of Economics, Prague (VSE) runs a project to build the National Repository of Grey Literature. Project is planned for the years 2008-2011. The project seeks to provide the National Register with the necessary metadata basis for data exchange. The NRGL project continues in the work of the thesis.cz and other partners, from which it was supposed to collect ETDs data from the National Register of ETDs and other local repositories. The National Repository of Grey Literature will support data export to other repositories via OAI-PMI protocol.

WHO AND WHAT

A schematic distribution of the records from local repositories to thesis.cz and the NRGL.

SELECTED PROBLEMS AND RECOMMENDATIONS

Selected Current Problems in the Czech Republic

Legislations

In the Czech Republic there is no uniformity and incompleteness in the latest amendments of the Copyright Act (No. 121/2000), in relation to the ETDs. It causes certain ambiguous interpretation of law for the making to the ETDs accessible at universities. Therefore it results in different conduct of schools and various situations:

Open Access / Access only on the basis of license agreements / Access only for the benefit of a research group / Self-publishing

Non-use Cases

- A defended work may contain more varied individual parts.
- It leads to the need of separate and detailed metadata records, especially for text works, in particular graphic types of works, which are e.g., a thesis, audio recording, collection of photographs.
- The link design project is progressing.
- This problem is being solved by the Academy of Performing Arts in Prague in cooperation with the ETD Working Group.
- Use of the definition of objects set the relations between the records, or digital objects.

- It is necessary to customize the non-text works into the standard of the ETDMS.
- It is advisable that it can be used in practice, so for that reason repositories will have to be reorganized.

Others

- Collection of e-texts is not yet obligatory at all schools.
- Open access repositories is not yet common (it is necessary to introduce the implementation of OA-PMI).
- Important universities (Charles University, Czech Federal University) will not participate in the National Register.
- Operation of local servers is in a automated mode (linking over the internet of the metadata in person).

METADATA

Common features of the metadata schemas: Vanilla XML coding, UTF-8, specification of obligatory and optional objects and their repetition, validation by means of XML schema and Relax NG, persistent single-valued identifiers of records, administrative elements to describe the transmission of the full texts, extraction by Dublin Core, ETD-MS and Xrmeta formats.

Specific auxiliary metadata for ETDMS and NRGL

Metadata to describe physical entities (Pres/CE)

Usage of License Agreements

License Agreements

Obli-gatory ETDMS

Acquisition

Recommen-dations

The ETD Working Group has prepared:

- models of the internal regulations that regular access to the ETDs
- models for the submission of the ETDs and making them accessible
- metadata standard, agreed on a national level, which provide the obligatory and optional as well solution for the field of methodology of accessing the research works

The ETDs Working Group is planning as follows:

- to update the EVDKS-MS (see non-text works)
- to prepare reception for the submission of the ETDs and making them accessible
- to standardize metadata, agreed on a national level, which provide the obligatory and optional as well solution for the field of methodology of accessing the research works
- to address the problem of plagiarism
- to prepare a new standard for the implementation of the ETDMS standard in local repositories
- to standardize the recording of records on thesis.cz for other metadata aggregation: foreign ones
- to standardize the development in the Czech Republic (register of local systems, use on the condition of development and local repositories)
- to monitor the development in the field of long-term storage of digital data and objects
- to monitor the development of the Open Access system

Metadata to describe the grey literature (NRGL)

Recommended models standard to describe the grey literature were prepared within the scope of the NRGL project. It is related to the metadata standard of ETDMS as EVDKS-MS is the information support of the study and scientific and research projects. The inspiration of the transmission of the metadata and full texts from the local registers to the NRGL via the OA-PMI is being solved. The conversion of the CSV file to Excel, the ODD format.

Example of the definition of object in RDF format

<table>
<thead>
<tr>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>thesis</td>
<td>thesis</td>
</tr>
</tbody>
</table>
**Health Information Literacy Among Resident Doctors of an Indian Tertiary Care Medical Institute**

**Postgraduate Institute of Medical Education and Research (PGIMER) Chandigarh, India**

By

Dr. Raj Kumar

The Post Graduate Institute of Medical Education and Research Library play a significant role to serve the faculty members, residents, research fellows, staff and students. It is computerized and automation includes Circulation Section, Book Section and Periodical Section. The library has already implemented technologies like - Wi-Fi facility to access high speed internet connection, anti-theft RFID Gates. CCTV System is used to monitor activities at different sections and floors simultaneously so one by one.

PGIMER Library has organized various innovative ideas with the aim of highlighting interest of doctors and other medical professionals. The library keeps on working on projects or programs that enhance the information share, deliver information about developments and trends in providing access to information. Presently the library is subscribing to various e-resources like SCOPUS: a citation Index, MD-Consult, Science Direct, Wiley-Blackwell & Karger Publications. The library has also joined the EMBRIDE Consortia which includes databases like Ovid, ProQuest, BMJ, Cambridge University Press, American Pediatric Association, Oxford University Press etc.

Keywords: - Information literacy, knowledge management, search skills

**POSTGRADUATE INSTITUTE OF MEDICAL EDUCATION & RESEARCH (PGIMER), Chandigarh**

PGIMER was conceived in 1960 as a centre of excellence, which would endeavour to develop patterns of teaching in postgraduate medical education in as many branches as possible and attempt to produce specialists in several disciplines of medicine. It was envisaged that these specialists would spread out in the country in the various medical colleges and medical institutions and impart specialty medical education of highest standard to the students and they would also set up nucleus of excellence in their own institutions. The PGIMER was also given the responsibility of broadening the horizons of medical knowledge by intensive research in the field of health.

Dr. Tashi Das Library

The above definition of information literacy has been used in several studies in schools and universities in Canada, Australia, UK, New Zealand, and other European countries (American Library Association, 2004; Bruce, 2002; Crocia, 2002)

**OBJECTIVES**

The present study was conducted to determine the information literacy skills of Resident Doctors and to provide Orientation Lectures and Information Literacy curriculum for the users of the Postgraduate Institute of Medical Education and Research’s library to set the priorities for promotion of information literacy among them for patient care and research.

**METHODOLOGY**

Data was collected by using the pre tested Questionnaire from the resident doctors of the institute and the analysis was done by using the SPSS computer software.

The sample of the study was of 236 resident doctors comprising 59.3% junior residents and 40.7% senior residents.

**INFOGGRAPHIES**

**Library Orientation Lectures Attended by the Resident Doctors**

<table>
<thead>
<tr>
<th>Library Orientation</th>
<th>Total Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>=236</td>
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</tbody>
</table>

**Frequency of Time Spent for Using the Library Services and E-Resources by the Resident Doctors**

<table>
<thead>
<tr>
<th>Frequency of Time Spent</th>
<th>Total Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>=236</td>
</tr>
</tbody>
</table>

**Purpose of Using Library Services and e-Resources (One or More) by the Resident Doctors**

<table>
<thead>
<tr>
<th>Purpose of Using</th>
<th>Total Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>=236</td>
</tr>
</tbody>
</table>

**Benefits of Using Library Services and e-Resources (One or More) by the Resident Doctors**

<table>
<thead>
<tr>
<th>Benefits of Using</th>
<th>Total Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>=236</td>
</tr>
</tbody>
</table>

**Recommended Bibliography and Suggestion (One or More) made by the Resident Doctors**

<table>
<thead>
<tr>
<th>Recommended Bibliography and Suggestion</th>
<th>Total Number</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>=236</td>
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</table>

**Conclusions**

Information Literacy can be included in the curricula at various levels of medical education in the form of workshops, e-journals, e-books, e-journals and online medical databases for the faculty, resident doctors and medical professionals. Our experience in developing the information literacy initiatives could help other medical and academic libraries in India to develop their own information literacy programs.
Research Information in Science, Technology & Medicine (STM) for Less Developed Countries (LDC)

Swarna Bandara
Medical Library, University of the West Indies, Kingston, Jamaica

Preamble
“Science knows no country, because knowledge belongs to humanity and it is the torch which illuminates the world”
Louis Pasteur (1822)

“Equal access to science is not only a social and ethical requirement for human development, but also essential for realizing the full potential of scientific communities worldwide and for orienting scientific progress towards meeting the needs of humankind.” UNESCO Declaration on Science and the Use of Scientific Knowledge Sec. 42) http://www.unesco.org/science/wcs/eng/declaration_e.htm

Synopsis
Information is a key to global equity and human well being, that can ultimately lead to peace. Access to and dissemination of locally generated research has proven to be challenging in LDC due to a number of socio-economic factors. Open Access (OA) to research results is possible through freely available ICT mechanisms. These opportunities are being capitalized on, but very slowly. For LDC to readily access these free resources, there needs to be more sharing of expert knowledge, guidance and technical support. Ultimately this will reduce the "North-South Gap".

Access Restrictions
Journal costs, shortage of tools, lack of knowledge in use of ICT, lack of preparedness, difficulties in maintaining budgets when local currencies are constantly devalued against US$ & £ - these factors all restrict information access. More than 50% of research institutions have no budget for journals. (NEJM v.350, pp 966-8)

WHO Efforts Hampered by Publishers
Internet penetration is very low in LDC. As such, the WHO initiative, HINARI, which provides health researchers in LDC internet access to over 4000 journals is not as effective as it could be. In Africa, where HINARI is available, internet penetration is only 5% of the population - with health research being only a subset of this population. Most LDC pay US$1000 subscription for HINARI. Yet, major publishers who are contributing to HINARI deny access to their journals for LDC, which subscribe to even a few titles, for fear of losing subscription income.

Present Conditions Favour Improvement
Internet usage has increased globally (from 16 million in 1995 to 1,596 million in 2009). ICT facilitates faster, cheaper communication. Donor agencies provide funding to LDC to improve research and freeware is available for journal publishing, OA journals, Institutional Repositories, electronic theses & dissertations. But these are not harnessed systematically in LDC

LDC Participation in OA

Research Output Restrictions
90% of communicable & preventable diseases exist in LDC. Digital divide, 10/90 research funding, editorial bias, institutional racism, language barriers, brain drain, cultural political and ethnic conflicts, the lack of resources, administrative support, opportunities, publishing options and ICT capabilities contributes to the lack of visible research output from LDC. Without any research data, intervention for prevention of these diseases is impossible. MEDLINE, the major index to health sciences indexes more than 3000 journals, but 95% of the journals are from the developed world.

Fast Forwarding Progress
LDC must act to get funding to improve ICT infrastructure, build up a cadre of people to promote and improve research and OA. Meetings such as ETD2009 facilitate North-South partnerships for research, guidance and technical support in designing suitable platforms for information dissemination from the within the South and globally. LDC conditions are complex and intertwined with socio-economic and political issues. However, with effort, some progress can be made when North-South meets on common ground supporting and promoting OA.
INTRODUCTION
The ETD gospel is amongst the primary agenda items for the Committee for higher education libraries in South Africa. The visit to VA (1996) by the Virginia Polytechnic ETD pioneer Prof. Ed. Fox sensitized the entire higher education library system of the importance of digitization. This innovative role of preserving Theses and Dissertations came at a time when libraries were beginning to experience space problems, vandalism of the material by students coupled with escalating binding costs. UWC ETD database was established in 2005 after a series of workshops funded by UNESCO were held in South Africa. Their main aims were to roll – out the project to South Africa, Southern Africa and AAU institutions.

WORKFLOW & NAVIGATION
The project has been instrumental in enabling the university community to realize the value of digital repositories. There is now a growing demand for expansion of the project to institutional repositories. The university community is very confident that the library would be an ideal unit that could effectively drive institutional repositories for the entire university. The positive comments received on the ETD project have made the library to realize the need for digitizing the retrospective records submitted in print for the period before 2004. The IR project is coincidently arisen when the library is in the process of reviewing its journal collection with intentions to retain e- access only. Access to e- research will also be complemented by online journal accessibility.

BENEFITS
The University of the Western Cape established its electronic Theses and Dissertation project in 2004. Significant progress has taken place since the project’s inception i.e. Project marketing, usage statistics by university staff and other international researchers from several countries in the world. The success of the ETD implementation solely relies on effective consultations with staff in the library, researchers and faculties. This has been witnessed by the process followed by UWC before ETD implementation Tise (2005).

As other institutions in the country are either running their ETD projects on E-prints, D-space, VT ETD DB and Greenstone platforms, UWC ETD is hosted on a locally developed software. To date the UWC has about 794 e-theses and dissertations titles on the ETD catalogue that is accessed by researchers from about 25 different countries on a daily basis with approximately 121 242 hits per month and 196977 downloads. To monitor the success of the database each electronic thesis and dissertation topic has a counter that assess each title hits, downloads and usage.

SOUTH AFRICAN / ETD / IR SCENARIO
Out of 23 Higher Education Institutions in South Africa, 10 have fully fledged ETD catalogues whilst the other three are in the implementation process. Other institutions ETD status is as follows:

**INSTITUTION** | SOFTWARE – ACCESSIBILITY
---|---
Afrikaans University of Cape Town | Eprints - Restricted
Free State University | VT ETD DB - Unrestricted
Johannesburg University | VT ETD DB - Unrestricted
Witwatersand University | VT ETD DB - Unrestricted
UNISA | VT ETD DB - Unrestricted
Western Cape University | Local Software - Unrestricted
Stellenbosch University | LOCKSS – unrestricted
Stellenbosch University | Projects ETD & AHERO
D- Space investigations are in process
Wilwatersand University | D Space / Greenstone:Restricted access for the first two years / Abstract only
Cape Town University | D Space / Eprints – Restricted access for the first two years / Abstract only
Durban University of Technology | E prints- Unrestricted
Kwa Zulu Natal | Eprints – Restricted access for the first two years / Abstract immediate access.

CONCLUSION
ETD project in South Africa is no longer taken as individual institutions responsibility, the country has reached a stage where collaboration efforts geared towards establishment of the country’s metadata is considered a primary focus. This national drive is being coordinated by the National Research Funds which is arranging a series of workshops for digitization across the research, information, library, museum and archives sector. It is anticipated that through these series of workshops South African Cultural and Research Metadata catalogue will be developed. With regard to higher education in South Africa it is assumed that by 2012 all the 23 institutions will be have a national SA ETD catalogue accessible internationally.

BIBLIOGRAPHY

**UWC ETD JOURNEY**
**BENEFITS, WORKFLOW, NAVIGATION OPTIONS & ALIGNMENT TO INSTITUTIONAL REPOSITORIES**

**ALIGNMENT TO INSTITUTIONAL REPOSITORIES**
UWC is in the process of reviewing its institutional operation plan.
- Alignment to institutional repositories: UWC is in the process of reviewing its institutional operation plan,
- The process include establishment of valuable working committee to look at the following:
  - Establishment of research excellence
  - Research Marketing strategy
  - It is through these working committees that UWC IR policy will be developed
  - Much as the existing ETD platform would be beneficial for the implementation of the IR project however institutional buy-in is still considered very important for the project sustainability
  - IR project constitute the academic staff’s research output (articles published on books, journals conference proceedings and research papers etc) The depositing of those articles on the IR platform must be mandatory.
  - Policy issues therefore must not be taken for granted

The Library, as the central research hub of the university, will be responsible for collecting the university Metadata and deposit on a central e-platform that will be accessible to all 7 Faculty staff and students.

**CONCLUSION**
ETD project in South Africa is no longer taken as individual institutions responsibility, the country has reached a stage where collaboration efforts geared towards establishment of the country’s metadata is considered a primary focus. This national drive is being coordinated by the National Research Funds which is arranging a series of workshops for digitization across the research, information, library, museum and archives sector. It is anticipated that through these series of workshops South African Cultural and Research Metadata catalogue will be developed. With regard to higher education in South Africa it is assumed that by 2012 all the 23 institutions will be have a national SA ETD catalogue accessible internationally.

**BIBLIOGRAPHY**
INTRODUCTION TO ETD PROJECT AT IIU

Progress and issues

PROFILE

The foundation of the University was laid on November 11, 1980. The University was upgraded, restructured and reconstituted by the President of the Islamic Republic of Pakistan in March 1985. Currently with nine (9) faculties and six (6) autonomous academies, institutes and centers, the University is conducting around ninety (90) academic programs with an enrollment of over 17,000 students that includes around 7000 female students. In addition around 2,000 are enrolled in the Iqra Technical Centre, a constituent unit of the University.

First ETD initiative in Pakistan

Pakistan Research Repository (PRR)

Initiated by: Higher Education Commission (HEC) in 2005
Aim: “to maintain a digital archive of the intellectual output of Pakistani institutions, to provide a single-entry access point to view this research, and to distribute this information as widely as possible”
Scope: First phase covers only MS and PhD level theses/dissertations
Second phase, Master theses, E. Books and Research Papers
Present Status: 2,132 Ph.D. theses have been digitized and are available on the Web
URL: http://www.eprints.hec.gov.pk

INTRODUCTION

International Islamic University Library has started developing a digital library of theses and dissertations which includes the archived theses and the submission by new students. As per suggested policy the University library requires postgraduate students entering Master, M.Phil and Ph.D programs to submit an electronic or ‘soft’ copy of their theses at the same time that print or ‘hard’ copies are submitted. The goal of the ETD library is to systematically collect and disseminate electronic theses and dissertations created by graduate students of the University.

In the initial phase, International Islamic University’s departments with graduate programs were invited to participate in the pilot project. Only those master’s and doctoral students entering Master programs were able to submit electronic theses or dissertations (ETDs) during the 12 months (to include the graduation periods of December 2007 through December 2008) of the pilot project. Faculties/Departments that wanted to participate were asked to agree to do so for the full year in which the pilot runs.

CURRENT STATUS

- Digitized theses: 852
- Digitized from hard copy: 809
- Theses received in soft form: 43
- Number of theses digitized/day: 9

Work on 1st phase is being carried out rapidly and access to the digital theses is available within the university intranet. PhD theses can be accessed from Pakistan Research Repository website. (http://eprints.hec.gov.pk)

ISSUES

- Concerns of students about the Copyright violations.
- Hesitancy of some students for submission of soft copy of the thesis.
- Power crisis in the country: load shedding reduces the pace of digitizing.
- OCR (optical character recognition) restrictions for languages other than English for thesis scanned from printed copies.
- Storage of digital data and backups, resources/media with high capacity are required
- Virus attacks on servers

SUPPORT & TRAINING

Support and technical training was provided to students, staff, and faculty. Workshops and training were conducted within a department if so requested. The anticipated technical training emphasis during the pilot was on how to create documents as PDF (Portable Document Format) files. This support included discussion of procedures involved in accepting ETDs and some technical training in how to identify problems in a PDF document. This training is planned to be made available to faculty, staff, and graduate students.

FORMAT

The pilot will focus on dissertations and theses to be prepared for submission as text-based Adobe PDF (Portable Document Format) files. The ETD may include external or internal links to non-text/multi-media files. The ETD document itself may include multimedia elements as long as those elements are in formats on the approved list of accessible file types. There is no limit to the file size of the ETD during the pilot. Participating students will not be required to submit a hard-copy version of the thesis or the dissertation to the library in addition to the electronic thesis/dissertation.

While the University copy of the final thesis or dissertation does not need to be submitted in paper form if it is submitted electronically during the pilot, a graduate program may continue to require paper copies from pilot participants for review by thesis or dissertation committees and for the school or department libraries.

PILOT EVALUATION

The following areas (and others to be identified) were evaluated by survey or data collection: faculty/student satisfaction; procedures; training and support; reasons for participating or not participating in pilot; costs; accessibility/visibility figures.

During the spring term of 2008, the ETD Working Group evaluated the results of the pilot; prepare a report, including recommendations for next steps; and submitted the results, report, and recommendation to the President of the University. Since then the University library has digitized 500 existing theses in Arabic, Urdu and English languages. While faculty sends ETDs of their students per the format requested regularly. The number of ETDs in IIU’s collection is on rise.
PLAN A: FALLINGWATER AND KENTUCK KNOB

9 a.m. - 4 p.m. $99

Leave the city behind, and take a comfortable coach ride to visit Fallingwater and Kentuck Knob, two of Frank Lloyd Wright’s architectural masterpieces in the beautiful Laurel Highlands.

Includes transportation, admission and lunch

PLAN C: OAKLAND TOUR

9 a.m. - 4 p.m. $35


Pitt Nationality Rooms — 27 one-of-a-kind working classrooms designed and built by Pittsburgh’s immigrant communities to showcase their rich cultural and architectural heritage.

Includes transportation, admission and lunch

PLAN B: DOWNTOWN TOUR

9 a.m. - 4 p.m. $69

The Just Ducky Tours — Pittsburgh’s only land and water tour!

Andy Warhol Museum - dedicated to the art and life of Andy Warhol, Pittsburgh’s native son.

Includes transportation, admission and lunch

PLAN D: BASEBALL GAME

6 p.m. - 10 p.m. $30

“Take me out to the ball game” and see the Pittsburgh Pirates play the Detroit Tigers at PNC Park on the shore of Allegheny River against the scenic skyline of downtown Pittsburgh.

Includes transportation and admission
The Networked Digital Library of Theses and Dissertations (NDLTD) consortium is pleased to announce this year’s award winners. The awards recognize students who have written exemplary electronic theses and dissertations (ETDs). These ETDs demonstrate new dimensions of scholarship being explored by individuals who have made significant contributions to the worldwide ETD movement. The Awards Program includes several categories of appreciation.

**INNOVATIVE ETD AWARD WINNERS**

The Innovative ETD Award recognizes student efforts to transform the genre of the print dissertation through the use of innovative software to create cutting edge ETDs. Use of renderings, photos, video and other multimedia objects that are included in the electronic document were considered as part of the innovation of the work.

» **Raquel Gutierrez, Leadership and Change, Antioch University, 2008**


URL: [http://www.ohiolink.edu/etd/view.cgi?acc_num=antioch122669058](http://www.ohiolink.edu/etd/view.cgi?acc_num=antioch122669058)

» **Lara Fackrell, Master of Landscape Architecture; Kansas State University, 2008**

TITLE: “Equestrian communities: design features and development process.”

URL: [http://hdl.handle.net/2097/792](http://hdl.handle.net/2097/792)

» **Kelly C. Barkhurst, Master of Fine Arts, College of Creative Arts, West Virginia University, 2008**

TITLE: “Design Taking Action: A holistic approach to design problem solving applied to disease education.”

URL: [http://hdl.handle.net/10450/6003](http://hdl.handle.net/10450/6003)

**INNOVATIVE LEARNING THROUGH ETDs AWARD WINNERS**

The Innovative Learning through ETDs Award recognizes a student whose professional life has been enhanced by the ETD process.

» **Shirley Stewart Burns / Ph.D. History, West Virginia University**

Shirley’s ETD, “Bringing Down the Mountains: The Impact of Mountaintop Removal on Southern West Virginia Communities”, has allowed her to accomplish her goal of raising the public consciousness and discourse about mountain top removal. She was able to reach a world-wide audience almost instantaneously, resulting in publication of a book that is now in use in the K-12 and higher education curriculum. A press release about her success is available at [http://wvutoday.wvu.edu/news/page/6644/](http://wvutoday.wvu.edu/news/page/6644/). Her dissertation is available at [http://hdl.handle.net/10450/4047](http://hdl.handle.net/10450/4047)

» **Jeffrey Cougler / Master of Fine Arts, Computer Graphics Design, Rochester Institute of Technology**

Jeffrey’s thesis project, titled “ASL Finger Challenge”, is an online interactive, instructional application for improving finger spelling reception when using American Sign Language. The significance of his work and its applicability to finger spelling in other languages was recognized and rewarded with a Fulbright Scholarship to Italy. From January through July 2007, Jeffrey conducted research in Rome, Italy, where he created an additional fingerspelling reception module using the Language of Italian Signs.
ETD LEADERSHIP AWARD WINNERS

The ETD Leadership Award recognizes members of the university community whose leadership and vision has helped raise awareness of the benefits of ETDs, and whose efforts have improved graduate education through the use of ETDs.

» Thomas Dowling, Assistant Director, Library Systems, Client/Server, OhioLink, Columbus, OH

Thomas has led the way in the adoption of electronic theses and dissertations in Ohio by creating and managing OhioLINK’s Electronic Theses and Dissertations Center, a consortium of 88 universities and colleges. OhioLink serves as a model for digital library consortia networks, and is the first ETD consortium established in the world. The OhioLink Web site is available at www.ohiolink.edu/etd/.

» John Hagen, Manager, Institutional Repository Programs, West Virginia University Libraries

Over the past decade, John’s commitment to ETDs at West Virginia University (WVU) has resulted in a program that serves as a model for many other universities. John has led regional and international workshops for the NDLTD, and he has hosted many visitors who come to WVU to learn about the ETD program. John has become recognized internationally for his ETD implementation and open access advocacy. More information about John is available at www.libraries.wvu.edu/theses/index_JH.htm.

A New! LIBRARY OF KNOWLEDGE AT YOUR FINGERTIPS!

OpenThesis.org will increase the visibility of theses & dissertations (and other academic documents) around the world by making them freely available on the web—easily accessible, searchable, shareable and useful.

We’re working closely with universities to gather ETD docs all the way back to the beginning, from students, or the students’ descendants.

Every university gets a free microsite at OpenThesis.org where any web user on the globe can search the school’s ETDs for free, or search across ALL schools’ ETDs.

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