Introduction

As the use and influence of ETDs continues to gain momentum throughout the world, many universities are now looking at their extensive catalog of hard copy theses and dissertations and wondering how these also can be made available online. There is no doubt that ETDs increase the dissemination and exposure of student research, as well as highlight the overall research activities of a university. Libraries as well are looking for extra shelf space and to bring their vast collections to a wider audience.

Given these and other motivations, many universities are now looking into retrospective (retro) scanning their bound theses and dissertations catalog. While the actual scanning of older research works is not a relatively difficult proposition, the size of the collection and the available resources to manage the process is sometimes a daunting task. Copyright issues and whether or not to contact authors beforehand about the retro scan initiative also factor into the feasibility of the project. As a way to help any school considering retro-scanning, the document below highlights the key points that should be addressed.

--Tim Watson, OhioLINK ETD Center Advisory Council Chair
06/15/2015

Variations in RTD practices reflect

- ❖ Institutional characteristics, values and strategic vision
- ❖ Financial resources
- ❖ Assumptions and influences in decision making
- ❖ Calculations of return on investment

Questions to Consider

- ❖ Why Digitize?
- ❖ When to Digitize?
- ❖ What to Digitize?
- ❖ Who are stakeholders? Who should be involved?
- ❖ How to capture and convert?

- ❖ How to document metadata?
- ❖ How to deliver and display?
- ❖ Where? Offsite or onsite?
- ❖ How much does it cost?
- ❖ How to manage rights issues?
- ❖ How to manage quality control?

Why Digitize?

- ❖ Philosophical benefits
- ❖ Operational benefits
- ❖ Customer Service benefits
- ❖ Not sure of the benefits

When to Digitize?

- ❖ In relation to ETD launch
- ❖ External Factors
  - Funding becomes available
  - Run out of space to keep print volumes
  - Gifted copies from college
  - As items are requested / ILL or circulated
  - Opening in internal scanning queue
  - Vendor opportunity (Proquest, Lyrasis)

What to Digitize?

- ❖ All graduate works
- ❖ Doctoral Dissertations only
- ❖ Master's Theses only
- ❖ Subset by department/institute
- ❖ Subset by date of creation

- ❖ Subset by subject
- ❖ Subset by format
- ❖ Subset by copyright status
- ❖ Selected by request (ILL, user query)

From What Source to Digitize?
❖ Printed and bound circulating copy
❖ Printed and bound preservation copy
❖ Microfilmed copy
❖ How to handle: Oversize materials; Included Media; Non-standard paper (onion skin)

Who are the Stakeholders?
❖ Who should be involved in the project?
❖ Are there any surprise stakeholders?
❖ How do you obtain buy-in?

How to Capture and Convert?
❖ Imaging requirements
❖ Text conversion/Optical Character Recognition (OCR)
❖ File Format(s) for access? For preservation?

How do you Document Metadata?
❖ Who creates or enhances the record?
❖ What standard to use?
❖ Where to publish the records?
❖ Will metadata be harvestable by Internet search engines?

How to Deliver and Display?
❖ Institutions seems to select an approach based on their values, resources, and workflows
❖ Choices somewhat connected to rights management approaches
❖ Key decision points: File format(s); Delivery platform; Type of Access; Relationship to ETD Collection; Relationship to search and retrieval facilities

Access Options
❖ Open, unrestricted access on the Web
❖ Restricted access
  • Full-text on campus
  • Some text off campus
❖ Full-text on demand
❖ No online access

Where to Digitize?

- ❖ In-house staff
    - Digital Library Center, Preservation, ILL, Reserves, Archives and Special Collections
    - Cataloging - metadata
    - Systems – storage, delivery, back-up, preservation
- ❖ Third-party vendors
    - Digitization service bureaus
    - Publishers (Internet Archive, ProQuest, Google, etc)
    - Binderies

How Much Does it Cost?

- ❖ Some unit costs reported by page, others by volume
- ❖ Estimates range from pennies to dollars per page
- ❖ May be dependent on services provided
    - Document handing (paper, disbinding/rebinding, microfilm)
    - Scanning
        - o Bitonal, grayscale, or color?
    - Optical Character Recognition (OCR)
        - o Corrected or uncorrected?
    - Metadata creation
    - Open access vs. proprietary access
- ❖ Associated costs not always figured in or reported
    - Storage costs, time compiling complete list of titles, time for clearing permissions, etc.

How to Manage Rights Issues?

- ❖ Rights Management Issues
    - Copyright
    - Privacy rights
    - Trade secrets/Proprietary information
- ❖ Copyright Issues
    - Are ALL theses and dissertations necessarily copyrighted?
    - Who owns copyright?
        - o in graduate student's work
        - o in included 3rd party material
    - Do original usage provisions apply to digital reproduction?

How to Manage Quality Control?

- ❖ Quality control level can range from in-depth pre- and post-scan QC on 100% of items, to cursory check that *something* is online, and everything in between.
- ❖ Which you go with depends on:
  - Goal of the project
  - Funding available
  - Staff time available
  - Mechanisms in place that allows for corrections to be made

Going Forward

- ❖ Assess your own
  - Institutional characteristics, values and strategic vision
  - Financial resources
  - Past practice and existing relationships
  - Assumptions and influences in decision making
  - Calculate return on investment - Consider opportunity costs
- ❖ Proceed in the way that makes most sense for you!

Credits (Presenters)

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Several years ago (before the development of its digital library program), Texas A&M arranged for digitization of dissertations from microfilm copies at ProQuest. The University is currently arranging for digitization of 16,000 Master's theses by a service bureau. These digital volumes will be accessible via open access in the Texas A&M Digital Repository.

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The University of Central Florida is performing in-house digitization of theses and dissertations. The digitized versions are made publicly available via CONTENTdm and the library catalog.

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The University of Florida began scanning dissertations in-house, then moved to scan with Internet Archive. The catalog links to the vendor website and a copy saved to the Institutional Repository. Master's theses are scanned on a per-request basis.

<u>Reading List</u>

Austin McLean and Brian Surratt, *Increasing Access to Dissertations: A Case Study*. ETD2003 Conference, Berlin, Germany, May 20-24, 2003.

Clement, Gail and Levine, Melissa, (in press) "Were Pre-1978 US Dissertations Published for Copyright Purposes? Evidence from Historical Sources", *portal: Libraries and the Academy*, July 2011.

Eldredge, Scott and McLean, Austin (2005) "Retrospective Digitization of Theses and Dissertations: Case Studies of Selection Criteria and Funding Sources" *Proceedings of the Eighth International Symposium on Electronic Theses and Dissertations* Sydney, Australia, September 28-30, 2005.

Herrin, C. Selby and Eldredge, Scott J.. (2004) "Planning and Implementation of the ETD Initiative at Brigham Young University", *Proceedings of the Seventh International Symposium on Electronic Theses and Dissertations, Lexington, KY, June 3-5, 2004*.

Lariviere, V., Zuccala, A., & Archambault, E. (2008) "The declining scientific impact of theses: implications for electronic thesis and dissertation repositories and graduate studies." *Scientometrics* 74(1), 109-121.

Martyniak, Cathleen L. (2008) "Scanning Our Scholarship: The University of Florida Retrospective Dissertation Scanning Project", *Microform & Imaging Review* 37(3), 121–129.

Mundle, Todd M. (2005) "Digital Retrospective Conversion of Theses and Dissertations: an In House Project". *Proceedings of Eighth Symposium on Electronic Theses and Dissertation, Sydney, Australia, September 28-30, 2005*.

Musser, Linda and Roberts, Elizabeth. (2008) "A study of color in dissertations and theses". *Library Collections Acquisitions, & Technical Services* 31, 220-225.

Piorun, Mary and Palmer, Lisa A. (2008) "Digitizing Dissertations for an institutional repository: a process and cost analysis", *Journal of the Medical Library Association* 96(3): 223-229. Also see related Powerpoint presentation at http://escholarship.umassmed.edu/lib_articles/96/.

University of Utah, "Project Ideas: Digitizing Historic Theses and Dissertations", *Utah Digital Repository Toolkit*. Online, URL: http://harvester.lib.utah.edu/utah_ir_toolkit/admin/digitizingtheses.html. Last accessed March 22, 2010.

Worley, Gary M. (2007) "Dissertations unbound: a case study for revitalizing access". *Proceedings of the 10th International Symposium on Electronic Theses and Dissertations, Uppsala, Sweden, June 13-16, 2007*. Online, URL: http://epc.ub.uu.se/etd2007/files/papers/paper-11.pdf. Last accessed March 22, 2010.

<u>Additional Resources</u>

ETD-L Discussion List Archives (discussions about RTD's date back a decade!)
http://listserv.vt.edu/cgi-bin/wa?A0=ETD-L

Massachusetts Institute of Technology, "MIT Theses", *Dspace@MIT Website*. Online, URL:
http://dspace.mit.edu/handle/1721.1/7582. Last accessed March 22, 2010.

Southern New Hampshire University (2010)" SNHU Academic Archive Project". *University Website*. Online,
URL: http://www.snhu.edu/8400.asp. Last accessed March 22, 2010.

University Microfilms (UMI) Dissertation Publishing. "A 'Forgotten' Racial Slaughter Goes Online". *Corporation
Website*. Online, URL: http://www.umi.com/assets/downloads/products/DAAPArticle.pdf. Last accessed
March 22, 2010.

University of British Columbia Retrospective Theses and Dissertations:
http://circle.ub.ca/handle/2429/831

University of Central Florida Retrospective Theses and Dissertations (part of Digital Collections):
http://library.ucf.edu/Systems/DigitalCollections/default.asp

University of Florida Retrospective Dissertation Scanning Project:
Project summary, publicity pieces, and author permission forms:
http://www.digital.uflib.ufl.edu/procedures/copyright/retro_diss_scan/DDDCA.htm
Staff Manual: http://www.uflib.ufl.edu/preserve/repro/rds/index.htm

Xavier University Retrospective Electronic Theses & Dissertations (ETD) Permission Form:
http://www.xavier.edu/cm/electronic-erxources/retrospective_etd_permission_form.cfm