Building to Last
Experiences & Best Practices from a Long-Standing ETD Program

RYAN OTTO
DIGITAL SCHOLARSHIP LIBRARIAN – KANSAS STATE UNIVERSITY
Building to Last

- Launched in 2004 for ETDs
  - Dissertations by 2006
  - Theses & Reports by 2007
- Joint program between campus IT and the library when started
  - Run on DSpace Platform
    - Currently on version 5X
    - Server run through Amazon Web Services
    - XML UI – Mirage 1
- ETDs 2004-Present – 5,549
- Theses & Dissertations Pre-2004 – 11,528
Today’s Roadmap

Overview
- Roles
- Workflow
- Support Services

Good Practices
- Copyright Services
- ETD Licensing
- Keeping Things Running

Managing Risks
## Roles

<table>
<thead>
<tr>
<th>Graduate School</th>
<th>Library</th>
<th>Information Technology</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dean of Graduate School</td>
<td>IR Manager – Library liaison, Chief fixer</td>
<td>Information Specialist</td>
</tr>
<tr>
<td>◦ Role: Chief decision maker</td>
<td>Copyright Support</td>
<td>◦ Role: Front end go-to person, IT liaison</td>
</tr>
<tr>
<td>Senior Degree Specialist</td>
<td>Cataloging</td>
<td></td>
</tr>
<tr>
<td>◦ Role: Liaison, Chief problem solver</td>
<td>Preservation – DPN, Duracloud</td>
<td></td>
</tr>
<tr>
<td>Junior Degree Specialists</td>
<td>Library IT</td>
<td></td>
</tr>
<tr>
<td>◦ Role: Review ETDs (Accept/Reject)</td>
<td>◦ Maintains repository uptime</td>
<td></td>
</tr>
<tr>
<td></td>
<td>◦ Customization and deploys updates</td>
<td></td>
</tr>
</tbody>
</table>
Workflow

Login & Submission → Accept/Reject Review - Degree Specialist → Live on Repository

Requested Edits
Why Not Go Through ProQuest?

- License integrity better with current workflow
- Stronger case in author rights (some cases)
  - ProQuest considered commercial?
- Easier to divest from ProQuest (if needed)

**Downside**
- More work for graduate students

Alternative Workflow

Login & Submission → Accept/Reject Review → ProQuest

Repository

Via API or Harvest
Support Services

FORMATTING & FRONT-END

- Templates and formatting
- Reviewing ETD & supplemental files, working with image or audio files
- Converting your Word or LaTeX file to PDF
- IR Log-in troubleshooting & ETD submission

COPYRIGHT

- Reusing content in ETDs
- Author rights
  - How to clear published works for ETDs

CONTACT OPTIONS

- EMAIL
- PHONE
- ONLINE APPOINTMENT – SUPPORT TICKET
Good Practices

Copyright Services

- Ru-using Content in Theses, Dissertations, and Reports
  1. Educating how to do copyright status research - Public Domain
  2. Understanding Creative Commons Licenses
  3. Educating on the four factors of Fair Use
  4. Advising on how to do permission requests

- Advising & educating on K-State copyright policies

- Publishing - Author Rights
  - What rights do authors have after publishing
  - Implications for Theses, Dissertations, and Reports
    - Pre-ETD Publishing
    - Post-ETD Publishing
Framework - U.S. Copyright

1. Does it have copyright protection?
2. Does it have an existing license that covers my use?
3. Can I rely on an exemption, such as fair use?
4. Do I need to seek permission or purchase a license?
Copyright Services

Maintain or point to web resources for self-help

Key Areas:
- Basic copyright information
- Fair use
- Author Rights
- Registering for Copyright
- Plagiarism vs Copyright
- Institutional copyright policies
- Copyrightability of Tables, Charts, and Graphs
- The Code of Best Practices in Fair Use for the Visual Arts
- Survey instruments and standardized tests
- Requesting permission

Scalability is the name of the game!

**BEFORE THESIS, DISSERTATION, OR REPORT**
- Navigable but hazardous
- Potential for signing over copyright to content **needed** to complete ETD
- Students should know about copyright and author rights **before** deciding to publish
- Copyright should be a consideration throughout ETDR creation
- Knowledge of how to request permission from journal/publisher

**AFTER THESIS, DISSERTATION, OR REPORT**
- Relatively easier process
- Copyright stays with the graduate student & is intact if they wish to pursue publication
- Students should make publisher or journal aware ETD is openly available
  - Journals or publishers do not normally consider openly available ETDRs as prior publication
Author Rights - ETDs

Journal Trends

- Reliance on Copyright Clearance Center
- Minimal permissions staff
  - Long response times
- Varied policy interpretations
  - ProQuest?
- Lack explicit permissions or policies for thesis and dissertation use
- Green OA/Self-archiving polices double as ETD permissions
ETD Licensing

Standard non-exclusive distribution License

License records are a good thing
- Will help if we ever change systems
- Policy documentation as a supplement

Offer Creative Commons license options?
- Scalability is the roadblock

We mandate that all ETDs are made open access. (Post-embargo)
- Implications?
- How strong is the license if we force graduate students to accept it?

Standard K-REx License - Non-Exclusive Distribution

By agreeing to this license, you (the author(s) or copyright owner) grant to Kansas State University (KSU) the non-exclusive right to reproduce, translate (as defined below), and/or distribute your submission (including the abstract) worldwide in print and electronic format and in any medium, including but not limited to audio or video.

You agree that KSU may, without changing the content, translate the submission to any medium or format for the purpose of preservation.

...
Adventures in Formatting

Google/Search for:

“Effects of Information and Communication Technologies on the Work-Life Balance of Resident Assistants”

Link
“Ummmmm...?”
“How Widespread is This?!?”

site:https://krex.k-state.edu Enter or copy the title of the article here

“Oh...Oh No”
Formatting & Standards

- Standardize, standardize, standardize

- Create a common denominator for ETDs, apply it to everyone.

- Theses and dissertations are stuck in the past.

- Doing something special? Make sure it’s achievable and sustainable.
Keeping Things Running

IT’S OK TO NOT BE PERFECT
IT’S OK TO NOT DO EVERYTHING

MAINTAIN AND STRENGTHEN
RELATIONSHIPS AT EVERY OPPORTUNITY

FIND WAYS TO DO LESS WORK
Keeping Things Running

Keep your paper copies!

Retroactive digitization is a risk.
How risk averse is your institution?

Setup on-demand for authors.
- License
- Digitization
- Upload to IR

The library and/or the IR Manager needs to be full partners.
Managing Risk

Access
- Not on shelves anymore
- Meant to be shared
- Open to all

Copyright
- Author rights/Publications
- Charts, figures, infographics
- Survey instruments

Trade Secrets
- Policies/Procedures
- Sales Data
- Market Research
- Strategic goals
Managing Risk

Copyright Education. Get the word out!
- Graduate students AND their advisors
- Get invited to information sessions, seminars, program updates, committees
- Provide self-serve information
- Someone in the library should have copyright expertise

Trade Secrets
- How do you share something that’s not meant to be shared? Scrub the document?
  - Remove identifiable people, products, and groups.
  - Falsify data
- What are the implications of making something open access with falsified information?
Questions

Ryan Otto
Assistant Professor - Digital Scholarship Librarian
Center for the Advancement of Digital Scholarship
Kansas State University Libraries
CADS@ksu.edu - rwotto@ksu.edu