Open Access Publishing of ETD’s:
Requirements and implications of complying with Budapest, Bethesda and Berlin

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Open Access Publishing is an ETD Community value

• Prominent theme of ETD conferences
• Recurring topic on ETD-L list
• Touted on NDLTD web site and web sites of other regional ETD portals

“We support electronic publishing and open access to scholarship in order to enhance the sharing of knowledge worldwide.”
But are ETD’s being published via OA?


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Open Access Defined per BBB

- Budapest Open Access Initiative (2002)
- Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (2003)
- Iniciativa de Budapest para el Acceso Abierto (2002)
- Declaración de Bethesda sobre Publicación de Acceso Abierto (2003)
- Declaración de Berlín sobre acceso abierto (2003)
The three contributing public statements have unparalleled stature and influence within the OA movement.

Nearly all OA proponents agree on the BBB definition.

When I defend the concept of open access against dilution, I'm defending the communal consensus embodied in the BBB definition, not my own private preferences.

BBB Open Access Definition

• Access to the full content of the work at no cost to users
  – Removal of cost barriers

• Access to full content of the work with some reuse rights in support of legitimate scholarly uses
  – Reduction of permission barriers
**Non-exclusive** – Often used to specify the type of distribution license granted by a student to the institution to allow it to make ETDs freely accessible via the Internet. With a non-exclusive license the student retains his/her copyright to the ETD.

**Offprint** - A reproduction of or an excerpt from an article that was originally contained in a larger publication.

**Open Access** – Information readily available on the Internet at no cost and without access restrictions. Also, the scholarly communication reform movement that aims to make scholarly literature freely available on the Internet. The Open Access movement aims at reforming scholarly communications by improving the dissemination of scholarly information. Open access (OA) literature is digital, online, free of charge, and free of most copyright and licensing restrictions. The full text and metadata of open access ETDs are available for downloading and viewing by anybody with access to the Internet.

**Open Archives Initiative (OAI)** – The OAI develops and promotes interoperability standards that aim to facilitate the efficient dissemination of content. Its major contribution is the OAI.
Research Questions

• Are North American ETD’s fulfilling the principles of BBB/NDLTD Open Access?

• How many ETD’s (post 1998) have been created with the removal of cost AND permission barriers?

• If uptake of BBB/NDLTD OA is low, what can be done to align ETD community practices with principles?
Research Methodology

• Identify where North American ETD’s are being published via OA

• Devise a strategy for finding them and determining whether they are compliant with both elements of the BBB/NDLTD OA definition

• Count the number of BBB/NDLTD OA ETD’s

• Look for issues and trends that might explain the numbers
## Search Strategy

- **Theses Canada portal**
- **NDLTD Catalog** (North American records)
  - Or combination of regional portals e.g., TDL + OhioLINK + …..
- **PQDT Open**

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<td>Cost-free</td>
<td>Any work to which an anonymous (public) user can gain automatic access to view citation and abstract or the full text</td>
<td>Any work for which an anonymous (public) user must authenticate or remit payment in order to gain access</td>
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<td>Permission-free</td>
<td>Any work to which an open license (Creative Commons or GNU) was attached, or any work for which the copyright statement included the phrase “Some rights reserved.”</td>
<td>Any work for which the copyright statement included the phrase “All rights reserved” and/or to which no open license (Creative Commons or GNU) was attached</td>
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Search Strategy in PQDT Open

sch(SCHLOC(united states) or SCHLOC(canada)) and PDN(>1998) and PDN(<2012) and ("creative commons" or "some rights reserved")

- 15,384 North American ETD’s published without price barriers
- 44 North American ETD’s published with removal of some permission barriers
Results

Number of OA ETDs in *PQDT Open*

- Without cost barriers: 15,382 (100%)
- Without permission barriers: 44 (0%)
Examples of ETD’s with permission barriers removed

COMPUTATIONAL OPTIMAL DESIGN AND UNCERTAINTY QUANTIFICATION OF COMPLEX SYSTEMS USING EXPPLICIT DECISION BOUNDARIES

By

Anirban Basudhar

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Examples of ETD’s with permission barriers removed

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READING OUTSIDE THE BOX: AN EXPLORATION OF ALTERNATIVE READING METHODS

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Examples of ETD’s with permission barriers removed

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Issues and Trends with OA ETD’s

• Author-side fees for OA publishing are an acceptable business model

• Many reputable publishers are going this direction
  – And some non-reputable ones are too! 😞

• Author-side fees range from a few hundred to thousands of dollars

• Institutions and funding agencies sometimes pay the fee, but otherwise authors must bear it alone
BioMedCentral OA fees range between:
£390 / €490 / US$620 for *Italian Journal of Pediatrics*
and
£1625 / €2045 / US$2575 for *Genome Biology*

“Open access publishing is not without costs. BioMed Central defrays these costs through article-processing charges because it does not have subscription charges for its research content. The company instead believes that immediate, worldwide, barrier-free, open access to the full text of research articles is in the best interests of the scientific community.”

BioMedCentral (n.d). “Why do BioMed Central journals have article-processing charges?”
Retrieved from http://www.biomedcentral.com/about/apcfaq/why
When Author-side payment for OA does not pay: Publishers contradict author’s CC license with publisher’s more restrictive license
When Author-side payment for OA pays:
Publishers accept CC license
*instead of* publisher’s more restrictive license
When Author-side payment for OA does not pay: Publishers remove or supersede rights of copyright owner.
When Author-side payment for OA does not pay: Publishers assert copyright for a work they do not own.
When Author-side payment for OA pays: Publishers uphold the rights of the copyright owner(s).

Source:
Removing deterrents for BBB/NDLTD OA

- Make sure the author-side pay model really pays
- Educate all ETD stakeholders about the benefits of BBB/NDLTD OA
- Educate graduate schools and students on HOW to reduce permission barriers through CC licensing
- Develop and promote tools and systems for institutions to control their own OA publishing instead of outsourcing to third parties with different missions
What’s Next?

• Apply methodology to other North American ETD databases
• Encourage colleagues in other countries to apply methodology to assess their own landscape
• Compare the data by region and time period
  – Are certain regions seeing greater uptake of BBB/NDLTD OA?
  – Is uptake of BBB/NDLTD OA increasing over time?
  – Why or why not?
Thank You! ¡Gracias!

From Texas ... ... a Perú

Hedge, Chris. (2011). *Big Bend at Dusk.* Retrieved from http://www.flickr.com/photos/alphadogphotography/5322678456/. Distributed under a Creative Commons Attribution-NonCommercial-NoDerivs 2.0 Generic License (CC BY-NC-ND 2.0)