

NETWORKED DIGITAL LIBRARY OF THESES AND DISSERTATIONS

Board of Directors Meeting, Sept. 26, 2005 University of New South Wales, Sydney, Australia

Present in person:

1. Tony Cargnelutti, UNSW. Conference host
2. Ed Fox, Virginia Tech, NDTLD Chair
3. Scott Eldridge BYU, NDLTD Treasurer
4. Hussein Suleman, University of Capetown, South Africa
5. Sharon Reeves, Library Archives Canada (LAC)
6. Delphine Lewis, ProQuest/UMI
7. John Hagen, West Virginia University
8. Susan Copeland, Robert Gordon University
9. Sharon Mombro, Scirus/Elsevier
10. Austin McLean, ProQuest/UMI
11. Alex Byrne, University of Technology Sydney
12. Peter Schirmbacher, Humboldt University Berlin
13. Gail McMillan, Virginia Tech, NDLTD Secretary
14. Joan Lippincott, Coalition for Networked Information
15. Ana Pavani, Pontificia Universidade Catolica do Rio de Janeiro
16. Vinod Chachra, VTLS

Present via conference call:

1. Christine Jewell, University of Waterloo
2. Thom Hickey, OCLC, Standards Committee Chair
3. Julia Blixrud, ARL and SPARC
4. Mike Looney, Adobe
5. Suzie Allard, University of Tennessee, Knoxville

Guests

1. Susanne Dobratz, Humboldt University Berlin
2. Christian DiCarlo, Google
3. Anurag Acharya, Google

Public Relations Report: Suzie Allard

Masters students will help next semester, including drafting an action plan using John Hagen's work at WVU. Among other things, they will gather stories of student who did ETDs and moved on to do bigger and better things. Mike Looney—Adobe has a PR specialist whose time he will volunteer after checking with Glen McCandless. Allard pointed out that it would be very good for students to be able to say they are working with a professional.

Mike Looney: Adobe has another contract with McCandless, specifically for NDLTD and ETD work.

With Joan Lippincott and Clifford Lynch looking at broader context than ETDs, i.e., preservation and repositories, to get campus-wide input on broader issues.

JL: Suggested looking at document handling and management as the overall framework for universities.

Lynch thought universities would not see this as a viable path—not as doable as ETDs. Educause may be the next venue for an ETD initiative but not at the next meeting. Need to reassess after this meeting in Sydney and then clarify views with Adobe.

SR: That's US based. Would there be an international initiative?

JL: Last year's push was to get more prestigious US universities involved in NDLTD.

ML: The thinking was to start with North America and a regional approach with existing infrastructure. Could replicate workshops, if successful, based on pilots in the US. A collaborative effort with more vendors didn't get a good reception.

SR: Really big Canadian universities are waiting to see the big US universities go for ETDs.

GMc: Perhaps ProQuest would influence the Council of Graduate Schools (CGS) to participate in the NDLTD and break through CGS non-participation.

AM said he would discuss ETDs with CGS leadership and try to get participation in the NDLTD.

ML: Let's make this an action item.

TC: Australian organizations like this are part of the ADT policies making. Similarly, the New Zealand universities have signed on to the ADT. Would like to help get this model to work elsewhere.

AB: Intellectual property and publication issues are better addressed by not-the-library. It's more reassuring if the graduate school deans speak to these issues. Australasian program is entirely voluntary—set their own pace, address retrospective conversion issues, etc. Secured funding. ADT provides framework, standards, policies, procedures, etc. but does not mandate them. Ego issues, repositories issues are at the university level though they could share.

SA left at 9:25 am

JB: Her 2005 NDLTD BoD minutes were emailed after Gail left the USA. She'll send them to Tony and he'll distribute them.

Awards Committee Report: John Hagen

Winners and their information are on the web site.

June 2006 will be next awards/conference. Need for funding support.

Mike Looney said Adobe would fund.

TC: initiated the ADT award. Inaugural award will be April meeting of the Council of Australian Librarians.

JH: Criteria for evaluating multimedia awards and exemplary people will be developed this year.

EF: Central award of NDLTD needs to be connected to the regional awards.

SC: Regional winners could be the source of the international winner.

TC: Let's have this on the NDLTD website.

JH: Wiki site will have committee notes, criteria, links to winners, etc.

HS: There are some generalized criteria, but JH will send additional information for the web.

JH: History of this will also be there.

SE: United States Internal Revenue Service form asked about a conflict of interest. Awards Committee guidelines showed that there would be ethical practices.

Julia Blixrud left at 9:40 am.

Standards Committee Report: Thom Hickey

Suzanne Dobratz was brought into the meeting.

TH: Germans have been doing a lot of good work. Digital rights indicator needed in the metadata.

Subjects needed in the metadata also. Also needed is a statement about the level: undergraduate, masters, or doctorate. These are the things that TH and SD have been discussing.

90% are using ETD-MS (<http://www.ndltd.org/standards/metadata/current.html>).

EF: Where do we go from here?

TH: Standards Committee is going to meet here, lead by Susanne Dobratz.

Susanne Dobratz arrived at 9:40 am

SD Reviewed the agenda for this afternoons Standards Committee meeting.

Metadata: implement ETD-MS and fit with local conditions. (1) Minimum level of subject tags. Standards DDC subject headings would be good to improve searching. (2) Creative Commons could be used in the metadata. Levels: OAI (Open Archives Initiative) protocol for German repositories: PhD, masters, etc. should be normalized

AP: Brazilian concerns—fit currently with ETD-MS.

TH: ETD-MS needs to evolve without making older version incompatible.

AP: why not LCSH (Library of Congress Subject Headings)?

SR: Student fills out the template and then automation takes over to create ETD-MS (per Dublin Core (DC)).

SD: Two levels of metadata: OAI could define the repository not necessarily the individual ETD.

CJ: U Waterloo has an algorithm so that subjects are based on the program the ETD comes from.

TH: Germans have a list of 60-70 topics that could be used. Could be mapped into LCSH.

SC: British library is currently updating the metadata scheme for ETDs and would probably work with German National Library.

SD: Could show DINI (www.dini.de/) use of it.

TH: Use the abridged DDC (Dewey Decimal Classification) of 3000 terms.

[SD connecting to computer and overhead projection.]

Commercial interests in NDLTD: Thom Hickey

Scirus, Google, OCLC now and others later are interested in NDLTD. Metadata is one thing but the entire work/ETD is another issue. We want broad access to ETDs.

JL: What is the down side? What should we be concerned about?

TH: ETD should be accessible.

JL: Facilitating metadata access is one thing.

SR: Yahoo accessed Canada's ETDs without consultation. Google was negotiating access with brand recognition.

AM: Selling adds with ETDs are both problems with Yahoo and Google. What is the role of NDLTD in this aggregation? What does it leave the NDLTD to entice members and get something for the dues?

AP: Google and Brazil discussion planning full text ETDs—the object, and not the context that the metadata provides.

SR: Google and National Archives Canada—going to give brand recognition.

Christian DiCarlo and Anurag Acharya, Google. 10:00 call in.

CDC: There is a document circulating re Google Scholar and ETDS.

EF: [Summarized how it would work. Brainstorming for a while. Open and frank discussion.] Task force will discuss but board should know the broad issues.

Vinod Chachra arrived 10:05 am

CDC: a partnership opportunity—increase the visibility and accessibility of the ETDs of NDLTD members through Google Scholar. Several thousands are already there—those that are openly accessible; but not those that are blocked by robots, for example. Google want to work with NDLTD members to bring their archives online. Scanning theses and dissertations (TDs) may be a project also.

SR: Any charge?

CDC: No charge.

GMc We would need you to get the authors' permissions.

SR: Todd Mundle at Simon Fraser.

GMc and AP already have similar models in place that scan and provide university-only access.

VC: would Google Scholar (GS) store them at Google?

CDC: That's one model. GS has worked with several publishers and partners with similarly limited-access works. Would work like it does now to make restricted ETDs known but still only available at the home university.

TC: One ADT member has scanned all TDs and made them worldwide accessible without any problems. ADT has a pilot project with ProQuest. Several hundred theses across several institutions to get copyright clearance and contact with authors. If contact made, 99% said yes. Failure to make contact with author was extremely high.

GMc: NDIIPP (National Digital Information Infrastructure and Preservation Program, www.digitalpreservation.gov) is hoping to influence US copyright law, specifically Sect. 108 about making a good faith effort. This is usually referred to as "Orphaned Works."

SR: This is what Canada is doing also.

TC: Putting everything online but willing to take it down when there is a problem.

HS: Metadata question re GS document. Abstract would be available after a hit at GS? Where would the user be directed?

AA: Google: would be fine but maybe see the first few pages of the document.

SR: Would you go to the metadata pages or directly to the documents themselves?

AA: Whichever way you want through GS. If content is restricted, go directly to abstract.

AB: The user should be directed to the host institution

CDC: GS is not crawling restricted ETDs at NDLTD members now.

AB: GS should search only the metadata.

PS: 2000 ETDs with permission from authors to make worldwide access. What are the technical conditions?

EF: Scanning may be helpful, as may publicity, awards, special services that grow over time to handle multimedia.

GMc: How will GS provide access to audio, etc. files?

TH: Would GS work with NDLTD Union Catalog?

CDC: Would love to work with Union Catalog.

TH: OCLC harvests from about 50 OAI PMH websites, resulting in ~200,000 files. ETD-MS in 90%; 50% has MARC21.

VC: What about languages without spaces like Thai.

AA: Yes, GS handles them.

TC: 150,000 metadata records in ADT; wants to promote access through GS in addition to NDLTD.

CDC: Great, and others should contact GS also.

JL: Are you preparing work for authors to explain why exposure through GS would be positive for their works?

CDC: Not very involved with Google Print and does know what authors are being reached out to.

JL: NDLTD is helping students understand being authors in an electronic age whether in industry or academia.

HS: Digital rights management information in the metadata or the documents question.

AA: We don't have much now.

HS: NDLTD and GS are both just beginning to think about it and will discuss further together.

CDC: Scanning topic. Concerns other than copyright.

TC: The free is important.

AA: free to the university and to the Google users.

TC: Could benefit from modeling and working in partnership with those who have the resources.

CDC: Are there other ways we could work together.

EF: What's the next step?

CDC: Individuals or as a group.

EF: the TF will discuss and perhaps be in touch through a conference call.

Google Scholar conference call with Christian DiCarlo and Anurag Acharya ended at 10:35 am.

Christine Jewell and Thom Hickey left too.

The Board took a break and reconvened 10:50 am

EF: Agenda Review

Afternoon committee meetings: 2 shifts of 1.5 hrs. Lunch 12:30-1:30 pm. Reception at 5:30 pm.

This afternoon committee meetings:

Implementation and Union Catalog will meet at 1:30-2:45

Standards Committee will meet at 3:00-4:15

Web site meeting 3 pm

4:30 final meeting of the Board to hear committee reports.

Sharon Reeves will monitor committees:

Conference 2006

Finance – not meeting

Membership

Nominating – not meeting

Awards – not meeting

Development – not meeting

Implementation /Pavani

Public Relations – maybe

Union Catalog/Chachra

Google -- is also Union Catalog Committee plus

Standards/Dobratz

Sharon Mombru re Scirus

Advanced search is not yet available. Adding new NDLTD members as well as current members who do not have harvestable ETDs. Press release after some of these issues have been addressed. This will update the one drafted and circulated last April 2005.

EF: Announce at this conference?

HS: Advanced search will not take too much time.

EF: Will announce at the conference tonight and let's go ahead with the press release.

GMc: It would be good if the institution could be named with the NDLTD.

AB: There may another intermediary such as Library and Archives Canada

HS: Full text from the institution, metadata from NDLTD.

Mike Looney left at 11:15 am.

Nominating Committee: Sharon Reeves

Expiring terms of Directors:

Delphine Lewis

Axel Plathe

Julia Blixrud

José Borbinha

Joan Lippincott

Joe Moxley

Slate of new directors:

Julia Blixrud

José Borbinha
William Clark
Joan Lippincott
Austin McLean
Joe Moxley

AB: NDLTD needs broader international representation.

TC: We have significant keynote speakers from China who may be approached.

JL: Should members up for election leave?

Board unanimously indicated: NO.

EF: Unanimous approval of the Slate. Thanks to the Nominating Committee.

SR: Need welcome letters, particularly to Clark and McLean. Thanks to those leaving the board. She will do these with copies to EF.

EF: Thanks to Delphine who is retiring from UMI/ProQuest.

GMc: It has been really important to the NDLTD to have UMI represented, especially since it was in on the original discussions about ETDs nearly 20 years ago. Thanks to Delphine for participating in our Board meetings, discussions, etc.

DL: our goals are the same though our approaches may have differed.

EF: ETD guide has moved to www.etdguide.org

Conference committee reports

2005: Tony Cargnelutti

Registration at 189 this morning. Hoping for 220. 50% from outside Australia and this is quite unusual for Australia. 20-30% is more typical. Full program is now available in HTML (<http://adt.caul.edu.au/etd2005/program.html>) as of yesterday with links to all papers (that have been received. All were peer reviewed. Will put up original language versions also. Will be in UNSW repository. This is his first time organizing a conference and appreciates the help he got from other conference organizers. 20-25 countries represented. Program chairs must keep their sessions on time. Sponsors funded events and also funded some delegates, particularly from Africa: VTLS and Soros (Nigeria, Kenya,) UNSW also supported delegates. UNSW and University of Technology will underwrite the small anticipated deficit.

PS wants the Development Committee to have a Lessons Learned document to pass on to future conference chairs.

SE: Joining the NDLTD is an option at the conference registration table.

TC: No wireless access due to security issues about visitors. But laptops in speakers' preparation room are available and Board members can use those facilities also. The computer facility on the main floor of the library is available for all conference participants to use.

2006: Guy Teasdale

arianeweb.bibl.ulaval.ca:8080 is the current web site for ETD2006 [Later replaced with <http://www6.bibl.ulaval.ca:8080/etd2006/pages/index.jsf> per GMc, June 5, 2006)

June 7 - 10

9th International Symposium on Electronic Theses and Dissertations: Unlocking Access/Oeuvre
L'Accès: Unlocking Scholarly Access:

2 languages now, French and English; but would add more based on need.

Center of Quebec City – 400th anniversary in 2008
Visits to Laval University

3 themes

June 8: Open Access/Open Source

June 9: Intellectual Property

June 10: Institutional Repositories

There will activities for conference attendees partners who also come to Quebec.
Call for papers (by Jan. 13, 2006) will end in review and finally depositing online.
Need for sponsorship for delegates to participate. In Berlin UNESCO sponsored several.

EF: Joint Conference on Digital Libraries (JCDL) will be in North Carolina immediately following NDLT, June 11-15.

SR: Canadian Librarian Association (<http://www.cla.ca/>) is the following week. Thanks to Board members who have given helpful comments and prompt feedback to the Canadian Conference Planning Committee.

VTLS Report: Vinod Chachra

VTLS Automated Loading and Electronic-submission Tool: VALET

A subset of Vital, the institutional repository tool

Business model include for free and for fee services.

See the article in Educause about institutional repositories. Blythe, Erv, Vinod Chachra and “The Value Proposition in Institutional Repositories” *EDUCAUSE Review*, vol. 40, no. 5 (September/October 2005): 76–77. <http://www.educause.edu/apps/er/erm05/erm0559.asp>

Preservation issues should be discussed with the Standards Committee and reported on at the 4 pm meeting at the Board’s conclusion.

No time for committee reports but they should all be sent to EF and GMc for linking at the website.

SR: Web site development problems are exemplified by the problems with the membership lists.

EF: SR is chair of the Conference Committee and will come up with recommendations for the 2007 conference.

Membership Committee: Allard, Copeland, Urs, immediate past-Chair, Van de Velde, Andrew Wells.

Cargnelutti volunteered to chair. November will be the active start. Clark would be a good addition.

Increase, retain, support. Borbinha should also be on the committee since he has worked on an online system for sustaining it.

Nominating Committee: Lewis will be leaving. Adding Jewell.

PR Committee: Allard, chair. Hagen, Suleman.

Implementation Committee: Pavani wants to step down as chair. She hasn’t had the time the last year.

Lippincott suggested Copeland; she declined. Reeves volunteered to chair. Joan will take on chairing Nominating Committee.

EF: Co-Chairs would be appropriate. At 4:30 reconvened Board will discuss.

Development Committee: Schirmbacher: this committee should collect experiences, e.g., conference chairing.

EF: Committee chairs should contact their members to be sure they are willing to participate.

4:35 pm reconvened NDLT Board of Directors:

1. Tony Cargnelutti
2. Ed Fox
3. Hussein Suleman
4. Gail McMillan
5. Delphine Lewis
6. John Hagen
7. Alex Byrne
8. Joan Lippincott
9. Susan Copeland
10. Scott Eldridge
11. Peter Schirmbacher
12. Sharon Reeves
13. Ana Pavani
14. Suzanne Dobratz

AB: As IFLA (International Federation of Library Associations) president he can assist the NDLT. Is publication of an ETD constraining publication of journal articles? IFLA has a strong relationship with IPA International Publishers Association. He's drafted a statement that could be used to flag the importance of ETDs with each of these bodies. IPA has members largely among the STM (Science, Technology, Mathematics) publishers. Joint committee of IFLA and IPA (International Publishers Association) will meet in December.

[Preliminary draft]

Joint statement by IFLA & IPA in conjunction with NDLT:

DIGITAL THESES AND PUBLICATION

In order to ensure the widest possible availability of primary research findings, IFLA and IPA support the establishment and operation of digital theses programs worldwide as promoted by the NDTL.

IFLA and IPA endorse the initiatives of members and other agencies to maximize discovery, access and preservation of digital theses and will facilitate them through international programs to the extent that they are able.

IFLA and IPA recognize that intellectual property ownership is preserved when theses are made openly available via digital theses programs and that such availability does not constrain subsequent publication of findings in monographs, journal articles or otherwise.

The NDLT is ...

IFLA is ...

IPA is ...

SE: [contact Scott Eldridge/BYU]

TC: ADT will pay its dues soon, as will Pavani/Pontificia Universidade Catolica do Rio de Janeiro (Brazil), and Dobratz/Humboldt-University (Germany).

SE: 501C3 application was submitted in August [2005].

EF received contact that it had been submitted.

SE: Tax reports for last year will be filed when this applications comes through

SR: Implementation Committee meeting this afternoon.

The task to focus on is a comprehensive and practical advice for universities interested in setting up ETD programs, influence deans of graduate studies, technical information. Will include IR (institutional repositories) group.

HS: How does this differ from ETD guide?

SR: This is a high level summary that will point to the ETD Guide when appropriate.

GMc: See VC's report on the Union Catalog and Google discussion.

SR: LAC has been in discussion with GS for over a year.

SD: Standards Committee Report

Rather than redo ETD metadata set, survey to see if changes are useful and wanted by a broad population of ETD institutions. There are changes needed but it would mean converting to the new standards. HS and SD will draft the survey. People who access ETDs like service providers and those who author them.

GMc will share the VT ETD User survey data. [See <http://adt.caul.edu.au/etd2005/papers/105McMillan.pdf>]

EF: Add SR to the Executive Committee as the Committee liaison and web site improvement.

Board expressed general agreement.

SR: One of the first responsibilities will be to improve the NDLTD web and membership list.

EF: JH volunteered to collect NDLTD proceedings, committee report, etc. into an NDLTD IR.

Preservation

GMc: Referred to paper [<http://adt.caul.edu.au/etd2005/papers/092McMillan.pdf>] she had sent to the Board on Sept. 7 and distributed a handout that included hardware and software options. These were prepared with Robert McDonald (FSU) and Catherine Jannik (Georgia Tech) and will be presented to the conference audience on Sept. 29. She pleaded with the Board to follow through on its obligations to initiate preservation activities and not just promote the adoption, creation, use, dissemination of electronic theses and dissertations. The three institutions that they represent have created a preservation model using LOCKSS for distributed dark archives. This model, she advocated, could be replicated on each continent with NDLTD members.

JL: Suggested that the Board give the go ahead to develop a model of the NDLTD, while suggesting that this is not the only method of preserving ETDs.

EF: Add preservation to the agenda of the Implementation Committee and the Standards Committee.

The Board endorsed GMc's recommendations.

SE: Referred to the Conflict of Interest Policy (EIN 20-0163938 drafted by NDLTD lawyers). The purpose of the conflict of interest policy is to protect the NDLTD's interest when it is contemplating entering into a transaction or arrangement that might benefit the private interests of an officer or director of the Organization or might result in a possible excess benefit transaction. This policy is

intended to supplement but not replace any applicable state and federal laws governing conflict of interest applicable to nonprofit and charitable organizations.

EF: Asked if there were any questions or concerns.

None voiced.

NDLTD Board of Directors meeting adjourned 5:20 pm, September 26, 2005.