

NDLTD

Steering Committee
Washington, DC
October 11, 2002

(Gail's unedited notes)

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- JS** Schaefer, James F., Jr., Georgetown University, Assoc Dean Graduate School: CGS Newsletter
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- PS** Schirnbacher, Peter, Humboldt-University, Berlin: conference 2003 planning
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- Fox Packet and Agenda review, some additions made
Highlights of minutes of last meeting, May 29, 2002 in BYU
John Eaton's award
Student awards need more attention, like ProQuest's
- DL ProQuest will fund, not select winners.
- Fox How is the decision to be made: innovations? Content? Work with professional societies also.
Need to form a committee [See p. 11 below; Jude Edminister chair, members selected]
Liaisons to various organizations, will be formalized in the Bylaws
David Balatti has retired; Sharon Reeves is the new representative from National Library of Canada.
- JH Move to accept minutes of spring 2002 meeting with editing
- DL Seconded
- GMc They will be online at <http://scholar.lib.vt.edu/theses/NDLTD/>

MEMBERSHIP STATUS

- Fox 152 members now. There is strong interest from South America where Fox visited recently
- Anna Pontifical Universidade Catolica de Rio de Janeiro: requires ETDs as of Aug. 1, 2002
- Axel Her organization, long standing, NGO: www.iau.org Egron Pollak, Secretary General of the International Association of Universities
- JH Membership list has more requiring universities than total at bottom of list.
- GMc I updated this list was updated very recently, not as of last May as it appears on the printout.
- Fox Some Board members are from organizations that have not officially joined
- SR NLC has joined!
- Fox UMI hasn't joined; should. [No comment from DL]
Union catalog vs. federated search
Reviewed Marcos's report:
Issues re how many ETDs are there? TD collection at OCLC, ETD collection at VTLS.
4-5 million TDs. Not counting UMI's collection. VT is trying to identify all the possible sites.

2002 Conference (Brigham Young University)

- Fox Thanked BYU for successful conference, Applause!
- SH BYU report from conference 2002 (will send summary to GMc for minutes)
10 countries, 28 states in US, Canada: 10, Germany: 4
124 attendees registered and attended
133 attendees
Evaluations: few respondents:
Learned about symposium: 23 mailings, 20% web, 1/3 other
66 first-time attendees
Breakout session: 20 excellent, 70 good
Plenary: 30 excellent, 63 good
Optional activities: 50 liked them, 37% didn't part
Shuttle: 43% didn't use them
Facilities: 57% excellent,
Liked best: by far: opportunities to network

Quality and variety
 Suggested changes: add affiliation to name tags; list of names w/email
 Separate tracks for new members vs. continuing programs
 Fewer concurrent/competing sessions
 Repeat more popular sessions
 Better and more general keynote sessions
 More panels as breakout sessions, more vendor participation
 Overall positive and complimentary; few negatives (expected) alcohol, tea, coffee

Fox: Difficult year for travel explains why conference attendance was down.

2003 Conference (Humboldt-University Berlin)

- PS Berlin conference planning report. Refer to packets that include Planning Committee membership, planning schedule
 Tutorial: training sessions, longer
 Workshops: commercial vendor presentations: 30 minutes
 President of Humboldt University will host opening reception
 Sun Microsystems will sponsor conference dinner
 Friday afternoon may be meetings, tutorials
 Saturday and Sunday will have organized sightseeing opportunities
 First announcement and call for papers had good results
 Will send another 3000 mailing, looking for 200-300 attendees
 BWO conference support, hotels (\$60-130 euros)
 Conference sponsors requested, UNESCO, German research foundation, German academic exchange service, Soros Foundation (Jean Claude Guedon's recommendation) will sponsor also—confirmed.

- Fox Very thorough planning activity.
- AP \$30,000 will contribute to tutorials, to bring to Berlin people from universities outside Europe and North America, to start ETD projects at their universities. ETD guide may be a good basis for the tutorial.
 Budget: need \$160,000 (euros needed); includes funding for travel? (AP)
- Fox Fixed and variable costs
- PS \$160,000 is enough for 200 attendees.
- PS Tutorials to be organized for beginners, see page 5 of draft schedule. There are rooms for more tutorials.
- Fox Suggestion for tutorials: Have on Fri or Sat; 30-minute panel of tutorial presenters.
- SP Tuesday? Offer tutorials at the beginning and the same at the end to reach maximum number of participants.
- Fox Focus on graduate students? What would fit well for those interested in graduate students?
- DM Multilingual data representation.
- SA Administrators, students, library concerns could be focus or topics. Address these specific issues that are not necessary interdisciplinary interests.
- PS DTD is an important topic also, but this and other topics may not have enough for a full tutorial. It may be good for Friday afternoon.
- JS Students: practical how to
 Faculty: intellectual property issues
- PS Topics for tutorials vs. for whole conference
- Fox CGS, CAGS—is there an international or foreign equivalent?
- PS This is a problem because higher education is different in Germany, but there is
- GMc Politics
- Anna Panel of library, faculty, student, administrators

AP Who from a 3rd world country?
 Buddhi Agencies, like India has
 VC Ministries of Culture and those of Education, are those who
 AP Bring in key individuals from countries, UNESCO will sponsor 10-20. [They? We?] need to know who to bring in
 JE Contains some of the information GMc was talking about. Done at USF. Politics is a big part of the norms and values of the academic community supply resistance to ETD initiatives.
 SA Two different issues: ministries form external; universities have internal pressures as well. Organization buy-in is a separate issue but both are leadership issues.
 Fox Jude and Susie must have just volunteered to plan this session: debate or interview. Take the high road, get high-level administrators e.g., Axel. Let's be reflective as well as move forward in a systematic way.
 Another community: Berlin? German initiative for students interested in ETDs.
 JS Let's have a session by students demonstrating their work/ETDs.

10:20 15-minute break

Fox Russian Leonid Kalinichenko: IPIRAS (Moscow) UNESCO Institute for Technologies in Educations. Digital Libraries 70 page document. Reports on education [in] the world where DLs can help. Discusses US's National Science Digital Library. Every country needs a digital library to share information, courseware, etc.
 Anna Will help on this topic.
 PS Will find web address and Fox will give him contact information.
 Fox We are all impressed with PS planning.
 JH Any ideas to maintaining strong American participation?
 SA Won't need as strong US participation to continue success of ETD conference.
 Fox Submit papers to get accepted.
 JH What North American institutions haven't been participating and should be?
 PS European response will be strong, but too early to be specific. Must have American participants to have a stronger network of cooperation among all universities.
 Fox Short paper presentations (15 min) may be better.
 PS Parallel sessions will include 20-25 minutes sessions; 8 of them; also 30 and 45-minute presentation.
 GMc What about poster sessions?
 Anna Electronic poster sessions also
 PS Not a problem

2004 Conference (University of Kentucky)

SA Facilities at university are reserved. Dates have changed to June 1-5, 2004. Hotel rooms booked at \$99/night plus student housing. Looking for sponsorship. One for a reception is settled. Timeline established and publicity has begun with undergraduate dean sponsoring conference logo award. Program Committee is still to be invited. Beth Cramer is co-chair and doing a lot of work at UK. Negotiated well in advance and so has gotten discounts and help with planning. President and Provost (current one) both to speak. All help is appreciated. Need from international members, have booked lots of student housing (virtually free) appropriate for international conference attendees. How can we get sponsorship (travel funds) for them?

Administration and governance

- VC Background on evolution of NDLTD Bylaws
Start with page 6 Organizational Chart
Board of Directors of 11, including. past chair
Open and flexible, requiring little centralized control
Intercontinental associations fed by national associations
Steering Committee: 30 members
11 from Board
9 appointed by Board, e.g. conference planners
10 people from assembly—membership at large worldwide
Secretariat: What VT has contributed, Fox and McMillan, host institution with 5-year commitment, with one renewal. Then shift to another institution. Institution selects executive director and secretariat.
Six unit plus membership at large described in thee Bylaws
Designed to be flexible.
Everybody on the board is running for office, therefore, don't need to find nominees.

Intercontinental Associations International standards

- AP Pacific States should be included
Africa Europe, include NA, Canada, Israel, Turkey, Russia
Latin American and Caribbean nations.
Asia and Pacific: Australia, India, Japan
Arab states, from Morocco (middle east and north Africa) Syria
- JL Strong representation in NDLTD is not reflected here
- Buddhi Agree that strong academic output is not reflected in this breakdown
- TH What would be expected participation
- VC 25 national associations
12 countries in the union catalog: Australia, Canada, Finland, France, Germany, Greece Korea, Netherlands, Portugal, Spain, [seeded], US plus more that have agreed to participate.
- Fox We can subdivide the international breakdown
- WB Approaching minister of culture or education, is there another approach, e.g., how we would work with them.
- Fox What if we had only national associations to flatten the organization.
- JH What was intent of intercontinental organizations
- SR Insure international participation
- PS It is important to have active members participate in the board. If intercontinental groups have been active participants [yet], it is not necessary to include them in the organization.
- VC Agree that those with interests are participating.
Intercontinental Association was designed to bring in broader international participation.
- JS It will be apparent when there is a need for such a group and then we can add it.
- Fox Do we want national associations or just an assembly.
- VC National associations already exist so we should recognize them.
- Fox Is this what we should call them
- VC Expand the name to include regional associations also, e.g. Australia and New Zealand
They need to be formalized to elect people to the board, keep up best practices, participation in conferences and union catalogs.
- Fox National/Regional Associations/Organizations
- Buddhi How to include UNESCO?

- Fox Steering Committee issues and flexibility and practicality of getting a quorum.
- VC Quorum = 1/3, voting majority = 50%, except for changing By Laws (which takes 2/3).
- Anna How are 10 members chosen/elected to Board of Directors?
- VC It is not clear and settled yet. UNESSCO and World Bank, for example, have two routes to get there - either elected or appointed by the Board.
- VC Importance of it being a non-political organization
- SE Should elections be tied to conferences?
- VC Good idea except for 3rd world countries participation
- Fox Summaries: omit intercontinental associations but still have six from national/regional associations/organizations.
- AP Still not clear to me. What is the relationship of associations to NDLTD?
- Fox It isn't clearer at this stage.
- VC VTLS Users Group worldwide: national organization works with its users and through that become part of the international whole.
- Buddhi:
- VC Review of the document
- Fox Select ____ at annual meeting from assembly; and next step is 30 days thereafter.
- SA Include Internet vote.
- GMc Concur
- JS Goal for broad participation and balance of membership
- SA Low barrier
- JS Associate members
- JL We want to encourage people to become full members.
- JE This could hurt graduate students.
- JL Ease of distributing information on Internet would mean students have access to the information, even if their institutions do not join.
- SA Associate members at national level would be good. Political environment at the university precluded getting information because it hadn't joined so wasn't on mailing lists.
- Fox Consolidate national association membership
- JL Tentative offer from Florida University to take care of some administrative activities
- GMc Question of executive director and secretary being appointed by the institution.
- Fox service is contingent upon support from the institutions
- JL Treasurer
- VC Accounting issues not part of organizational accounting. Treasurer is responsive for fund generated by the NDLTD.
- Fox parallel structure for secretary, service
- Fox How to move forward?
- JL At one time we want this to be a lightweight organization. Is this being impeded now?
- Fox Accept the next draft, vote to accept. Who will so move?
- JH Let's vote to accept and move ahead to incorporation.
- AP What about the constitution? Isn't that the founding document? Wait until that document is in place to vote on Bylaws.
- Fox Implementing infrastructure is the next important step.
- JL This group can move to appoint itself to be the Board of Directors/Steering committee in the interim.
- Fox OK, advertise broadly to implement this initially at the Berlin Conference.

Governance International standards

- JL Thanks to Vinod for his work on the Bylaws

We decided to incorporate at last May's meeting. To incorporate, we need money. Transition year budget (see her email of Sept. 25, 2002), plan to disseminate information, value of membership, etc.

Incorporation requires By Laws etc.
 Separate is 501C3 status application, but being at a university it is not a hard process.

Fox We decided to incorporate. Let's move forward.
 501C3, NGO, etc. are intertwined and no one knows how to proceed.

JL How do we find NGO status?

SR What is 501C3

Fox Tax-exempt status in US.

AP NGO and UNESCO. Only 350 organizations in UNESCO, its executive board is accepting new NGOs. Most important criteria are that a NGO has an umbrella purpose. NDLTD is not an umbrella organization bringing together several international associations

VC Will give \$500 from VTLS for incorporation

Fox Let's use revenue from the annual conference.

VC What approximately is needed for the first year of operation?

JL Tried to lay out an estimate. Will FSU handle those administrative costs to support?

Fox We're only worried now about direct expenses. Therefore, \$4-5000 is needed, \$10,000 would be a safe figure.

JL What about charging for dues?

GMc Student fees not affected by institutions membership.

Fox/JL Institutional members will pay less for conference fees.

PS Institutional support for conference participation as we transition into paid membership

VC Don't start too low because it would be difficult to raise.

GMc Let's set the dues based on needs.

JL This is not a proposed budget, just suggested fees needing to be paid.

Fox We have been informal and trying to become a more formalized organization.

DM One flat amount or vary by country?

GMc Yes, let's.

Fox We have dues categories.

SR Need to develop a sound preliminary budget.

Fox We have \$10,000 for implementation, direct costs.

TH There's no way you want to spend \$10,000 in the next year. Video conferencing, for example. You are going to need funds to function as a legal entity.

JL Send a letter to every existing organization, setting an amount, or a tiered amount, soliciting a contribution to set up the organization (not called dues yet). Or, we could have a small group that would target 10 members that would each contribute \$1000.

DM What about your ideas for national organizations supporting NDLTD?

TH Solicit donations to get the organization started. He will try to get OCLC to contribute. Not a long-term solution but would contribute to next year.

VC Agree with John. Is this going to be a dues organizations? If so, plan these. Or, take on Thom's suggestion for donations.

AP Use models for international organizations NGOs. Euro countries pay 7%, developing countries .001%, Japan pays 25%.

WB Dublin Core is setting up the same thing.

Fox We need to have more active participation of our members. We need an interim treasurer and perhaps a Finance Committee. What is the sense of the group if this approach is acceptable? We have consensus. Does anyone feel uncomfortable—body language says no.
 We will implement this plan, publicize it.

Fox Reports during lunch.

Lunch: 12:25 pm

JH Appalachian Regional conference report at <http://scholar.lib.vt.edu/theses/NLDTD/AppalachianConsortium.pdf>

GMc Let's make outreach a formal responsibility of the NLDTD [heads nodded]

GMc NLDTD needs a webmaster. [heads nodded]

JH ETDs at WVU were featured in the *Dominion Post*. [See article below on p. 17.]

JS CGS report. Premeeting workshop, Tim from UTAustin, Bill Savage, UMI. JS, Georgetown. Doing this presentation twice Wednesday, before conference. CGS newsletter may talk about these issues and the NLDTD.

Anna Brazilian report

Fox Anna is official trainer for ETDs in Latin America. Panama next Nov. workshop; ISTEAC is helping.

DL ProQuest report

All TDs off CD ROM, step to accepting more media including HTML and multimedia.

Now trying to make them available online (like Jude's at USF for Free).

Huge push toward interoperability, OAI applications and federated searches overlapping their databases and extend it to a school's resources Wants to be compatible by June 2003.

UTexas at El Paso preservation project microfilm and scan all masters' theses from their shelves; the paper is yellowed, crumbling, decaying. Just started.

JE Microfilming and scanning m'film due to deterioration

DL Will get TIF wrapped in PDF for campus-wide access.

Indian Reports

DM Just becoming aware of ETDs. Just starting off. We need a national agency to take on the initiative. Every university is feeling strong ownership. There are electronic documents, but policies need to evolve nationwide. University Information Library Network for all university library systems. Next will be ETDs.

Buddhi Most TDs are created electronically. But it is a policy issue about sharing resources. India also has union catalogs. They are looking for technology collaborations. (2) Ownership issues. (3) Service side to NLDTD—more information would be helpful.

Pradeep (from university of Hyderabad). Multilingual issues.

DM Unicode is the goal, nonstandard to date. Printed copies need OCR for multilingual.

Buddhi His institution is also working on a multilingual format, but DM and Pradeep emphasized Unicode.

See Shalini Urs report.

WB What language is the metadata?

DM English; OAI is the policy.

SR Canadian Report [official: attached]

Last week National Archives and National Library would become one. Not anticipating any impact on Canadian. Looks like it will be Ian Wilson, national archivist.

Last spring David Balatti developed a proposal for searching across AMICUS but then retired. Also planning to include abstracts in future cataloging/bibliographic records. March 31, 2003 target date for implementation.

Second phase maintain ETDs on (AMICUS retrospective to 1987, 40 some thousand). 7000 epublications

Anna Bilingual records?

SR Depends, use the language of the work itself.

GB Abstracts are also submitted in both languages, also titles, keywords for all universities in Quebec

DB World Bank report

Thesaurus

Metadata in multi-languages or multilingual thesaurus to handle metadata; Unicode compliant—moving from ver. 8 to ver. 16.

See ADT report from Tony Cargnolitti

progress from the ADT Program. We have a new governance structure and now, guaranteed ongoing funding from CAUL. It's a new era for ETDs in Australia. More news later on in the month. Cheers. Tony

Offer to host 2005. Fox asked for a formal proposal. SE moved and TH seconded.

Very active in the Pacific countries.

See Moroccan report from Nabile

Includes recommendation for summer school.

See South African report from Felix Ubogu

AP UNESCO report

Fox official transferred the multilingual guide on CD

Got funding for ETDs for through Dec. 31, 2003 project on education and culture. \$200,000 for ETDs for Latin American \$70,000; 130,000 for participants in ETD 2003 conference and training facilities. \$35,000 training in Africa. AP must find suitable university. Funds for pilot projects included in Latin American project; Additional projects in Africa and Eastern European.

Implement a pilot project. ETD Guide is the basis of the projects. NDLTD has a need for promotion; some grants could be used for that. Also use it for CD-ROM make many copies and distribute in addition to online version (\$10,000). Evaluation of these activities at the end of 2003. Should include not just within the framework of the fund. Could also evaluate other NDLTD initiatives. Efficiency of the system internationally to promote ETDs. Not just a retrospective evaluation but also how to continue, more efficient. NTLDT would be a good partner; let's discuss over the next month how to proceed.

May be some support for 2004 conference, training at UKentucky event

International Association of University; International council of scientific unions has a publishing branch.

From ETDs to other issues. Policy framework needs to be developed for preserving ETDs for 100 years. Draft charter on e-heritage and preservation of electronic contents.

Developed digitization guidelines largely for developing countries. Available next month.

International event: 2003 Geneva 2004 in Tunisia. Applications of new technologies. Could there be ETD-related applications?

UNESCO will work more on it in education.

GB Two translations of 400 pages was a huge success.

Fox Enormous thanks for all who contributed.

- GB May need a permanent committee to continue to work with the guide, other translations, develop further some issues, improve it with current activities (e.g., Unicode could use more details). Think about how to keep this work alive.
- Fox Distributed Guide to World Bank, German and Portuguese reports. To push for additional translations.
- JL Joe Moxley is proposing a panel for the Berlin conference
Funding opportunities: NDLTD site could do more: a continued presence for all kinds of information. It needs an infusion of resources that would have responsibility to create perhaps a more eye-catching design. Features like ETD of the week; promotional activities. Compile more resources, e.g., link to resources.
- AP This could be a promotional effort but contract would be for 6 months but then someone has to maintain it continuously.
- JL Need for more training and/or promotion: pilot project for online training materials.
- AP Like what we've done in Latin America.
- JL Online course, standalone.
- Anna Planning to develop online tutorial, self-study but with someone assigned. Assigned to be equivalent of 40 hours of training. Aimed at library staff, graduate students, IT personnel. Covers all aspects of an ETD initiative. Deliver in Portuguese, Spanish, and English. When it's finished, look at it and see how it could be used, in part or in whole, for other instruction.

Thom Hickey: OCLC Report

Standards Report: Mailing list. A little bit of discussion. Talk of a session in Berlin. As we are harvesting we're seeing ETD MS in addition to other formats. It needs some modifications over the next year or so. XTcat—experimental theses catalog. 4.3 million TD records under OAI protocol (2.0) plus there is a set that is ETDs within that. In Dublin Core and also ETD MS supporting as far as possible. In Unicode and has non-Roman records (mostly Chinese and Japanese, some Korean and Arabic). Planning on a search system. It is for harvesting but to get a tree of HTML overlay. SRU is the web-version of Z39.50. No search planned, but basic web access. Ready to harvest other collections would be nice if they supported the new OAI version. Java Tomcat-sort of thing there is open source software and modest support available from OCLC. Plans (as harvesting) pulled from WorldCat, functional requirements for bibliographic records from IFLA; NAF from LC. Associated web services like name and subject authority coming soon in collaboration with UK's eprints projects.

VT grant to Gail McMillan for White Paper. From a university librarians point of view, in many ways more accessible than the Guide. It will be on their web site. Very useful, nice way to start. GMc thanks for financial support

VC Union Catalog Report

- 4362 entries in union catalog last time, now 13678 entries. 7 countries vs. 12 countries. 6 languages still, none in French [hint hint]. The interface is in 14 languages to access the data, also unchanged from previous report. Access changed—move to larger server and more security required. 80 institutions submitting ETDs. See his report. Access reports next time.
- JH What to do to participate?
- VC Extract and submit through OCLC; be OAI compliant. Just started getting ETD subset from OCLC. Getting good experience handling multiple languages.
- Fox All kinds of organizations are participating in this effort. An exciting project.
- Fox UNESCO made generous offers. NDLTD Does want to help in any way it can. What is the best approach? Felix Ubogu in South Africa is the best person in that country. Standards: OAI. We want to stay on the leading edge on these issues. We need people to contribute their expertise like Gail did. DL mentioned JE wants to be involved in award.

Fox Matt Kirshenbaum
DL Could get JE access to award winning TDs.
Fox Should we announce on the listserv?
DL Remember someone has to look/read at them all?
JL Described process CNI used for its first scholarship. Staff reviewed initial 120 applications; committee reviewed 20 finalists. 3 weeks time and one conference call.
Fox Jude, Delphine, Anna, John, Gail could be first Awards Committee. Prepare an announcement.
DL What are we defining?
GMc Let's have one of each at masters and doctorate.
DL If we're funding trip to Berlin. May be just one.
Anna Most innovative ETD
Fox Committee defines
JE How it pushes the limits of the genre.
GMc Let's appeal to organizations like CGS, Graduate Studies deans in Canada.
Fox Institutions will nominate
GMc not just members

Break: 2:45 – 3 pm

Fox left and Gail took over as chair

Committee Reports

Mary Case for Julia Blixrud re SPARC

Institutional repositories

www.arl.org/sparc

SPARC ARL CNI workshop in DC on institutional repositories and OAI in CERN, Canada next
David Proser is the SPARC Europe director

Scholarly publishing and academic resources coalition

Began to introduce competition in journal publishing for academic institutions

Institutional repositories will shift the competition

TH: Standards: how interested are people really? Voiced a concern, but participation is less enthusiastic
GB Do we need a multilingual subject approach?
TH Classification: OCLC uses Dewey. Yes, it worth exploring. What is in the higher education community already?
WB Dewey and LC were intended to be universal and for all audiences. Let's look at things like American Mathematical Society, and such that address the audiences for TDs.
GMc Another example is the Avery Index for art terms
WB Ontology services need to be explored.
GB Next meeting in May could see what is available to be used. She hopes to get funding so that she can be present to report at the meeting in May in Berlin.
TH Post to the listserv
SR could propose to the standards Committee in Canada.
Anna Add her to the standards list.
TH Email is maintained by Fox. Discussions are small
JH Demo online see his printout.
GMc Set **goal for next meeting?**
JH Wants ideas for **more global level outreach.**

GMc Is your outreach strategy translatable to other countries?
JH Yes, general concept is applicable. UPenn, UOregon has come to WVU.
SE Let's not overlap?
SA 10 things that are translatable.
Anna Incubation.

Scott, Tony, and John: Anna, Jude, and Suzie (after Feb.) will help also.
SA has a descriptive piece in her dissertation. Is there a difference in various areas?
Will report in May and have a time line.

SE: Surveys

Worrying about attendance for their conference. 66% were first time attendees. Why didn't more come back to ETDs 2002? Will send letter and promote ETDs 2003. Will mail to past attendees and compiled for Berlin meeting. Will have results before then.

SE Thanks for Gail's tremendous help in planning last year's conference.

GMc for Douglas Hott, University of Cincinnati, re publishers ETD policies: **Journal Policy Portal**

Abstract: Our experience shows that violating publishers' pre-publication policies is one of the main concerns of faculty and students embarking on electronic submission. It is often difficult to discover the publishers' policies and thus even more difficult to properly educate the faculty and students. In response to this problem, the University of Cincinnati is developing a database of links to publishers' journal policies called the Journal Policy Portal. Our goal is to provide a global mechanism for students, faculty, administrators, and publishers to share information and facilitate electronic publishing education.

Update: The project is taking longer than anticipated due to other job obligations, but progress is being made. I am working on finalizing the forums functionality, and when that is completed, I will begin a short testing period to ensure the system is fully functional. I hope to have this phase of development completed by the end of the year.

I will also be adding additional functionality to the policy submission and update functions based on the feedback at ETD 2002 in Utah. I really appreciate all the support and feedback about the project and look forward to working with everyone in the future.

If anyone would like to view the work-in-progress and provide feedback, please visit <http://www.etd.uc.edu/journal/>. Remember, this is not polished and some of the functionality is missing, but you can get the general idea.

I will notify everyone through the listserv when the site is ready for worldwide launch.

Doug Hott, ETD Coordinator / Applications Analyst (doug.hott@uc.edu)

Everyone is anxious to see this database. Let's use it as a promotion for ETDs
Doug should contact DL for list of standing permissions from publishers

GMc for NCSU: **survey on preservation practices for electronic theses and dissertations**

Summary of survey on ETD preservation practices

I. Executive summary

Sixteen institutions accepting electronic theses and dissertations (ETDs) in fulfillment of graduation requirements were surveyed regarding practices for long-term preservation of ETDs. Results show that these practices vary widely.

Electronic file format: PDF is by and large the standard format for the main document. Some accept HTML; however concern was expressed about the reliability of HTML over the long term. Many but not all institutions accept supplementary files. Several institutions emphasize that supplementary files should not be part of the substance of the thesis (pointing up a tension between preservation concerns and the potential of formats such as audio, video, and simulations to provide new channels for communicating research and ideas). A number of participants expressed concern about the fact that PDF is a proprietary format. Several said that while XML has certain advantages, in the current environment it is too much to ask either students or university staff to convert ETDs to XML.

Electronic file backup: Strategies include incorporating ETDs into larger library backup plans and delegating responsibility to government-sponsored library agencies at the state and national level. Specific measures institutions are taking point to the importance of 1) redundancy across locations and document formats, and 2) organizational routines.

Paper copies and physical backup: Just two institutions retain paper copies for archival purposes. At four institutions, requirements for non-archival paper copies (e.g., at the department and committee level) may still be in place. All but two institutions provide for a physical copy (generally microfilm) of the ETD: seven of these 14 institutions retain the physical copy on-site or at an affiliated library, while for the other seven a microfiche copy is created and held by UMI.

Processing of master's theses vs. dissertations: Among the 12 institutions accepting both theses and dissertations in electronic form, seven process them no differently from a preservation perspective. The other five have weaker preservation measures in place for theses.

Migration: Some institutions are not very concerned about future needs for migration. Others have made explicit commitments to migrate specific file types. Additional measures include a surcharge for future preservation costs; an inventory of file formats; and delegating responsibility for migration to a government-sponsored library agency.

Other themes: Two other significant themes emerge: 1) Several institutions highlighted the importance of workflow and coordination within the library and with other units; 2) Responses suggest that many policies are very much works in progress.

IV. Conclusion

These results show that institutions accepting ETDs as the official version of the thesis or dissertation are making different choices about how to preserve these documents. Major questions include: Is a physical copy needed? If so, should it be paper or microfilm? Who should produce it and who will pay for it? How can we preserve not only the data but, in an environment of evolving hardware, software, operating systems, and file formats, the intellectual content of each document? Plans for migration remain, on the whole, vague and preliminary. If supplementary files become more widely accepted as part of the substance of a thesis or dissertation, there will probably be a greater need for sound migration plans.

For theses and dissertations on paper, libraries are entrusted with the responsibility not only to provide access in the short term but to preserve in the long term. Serious engagement with questions about the digital preservation of ETDs is one way research libraries can reclaim, in a digital context, their role as trusted stewards of intellectual work.

DL UMI scanning microfilm theses.

GMc's VT reports

Withheld ETDs becoming more available as Graduate School begins follow-up to restricted and withheld ETDs dating back to 1997.

GB Justify with the Graduate Board why restricting access to ETDs

JH 75% World access, 25% chose campus-only 2% encrypted, 1% no access.

GMc ETD logo:

TH branding OCLC would use.

SR so would NLC.

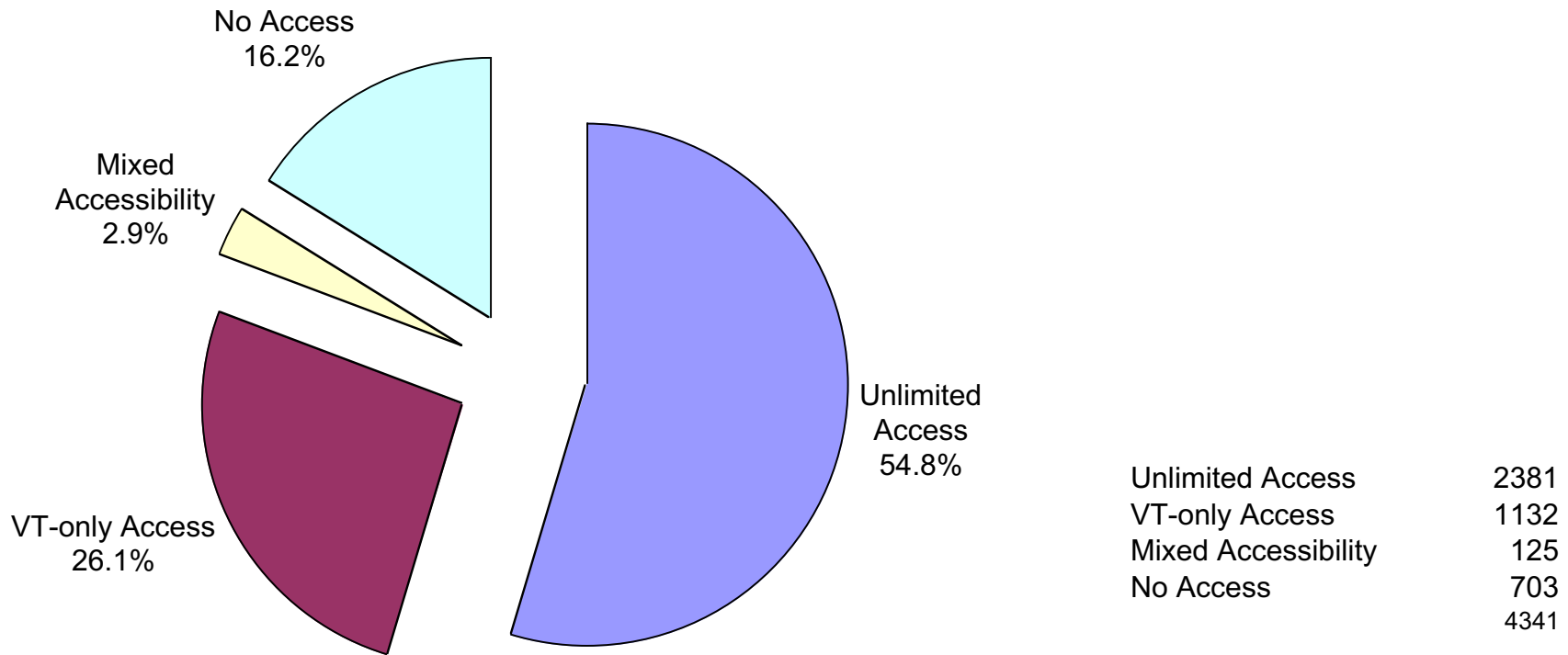
Other business.

Anna: Need to have a **reporting site for ETDs**. Once or twice years. Report also additional multimedia formats.

GMc March and Sept (works for Anna also). Make it part of membership form with same password.

Who is going to Berlin conference? Everybody but Selby (and maybe Gail), who must find funding] is planning on being there.

Accessibility of VT's 4341 ETDs



NDLTD Steering Committee Meeting
October 11, 2002
Member Report - National Library of Canada
Sharon Reeves

At the National Library of Canada a proposal was prepared last spring for a searchable collection of Canadian theses on AMICUS, NLC's online catalogue.

Phase one will establish a searchable collection of bibliographic records on AMICUS by including abstract notes in bibliographic records among other things. Functional requirements and cost estimates are currently being prepared. The approximate cost of systems development is \$30,000. Target date for completion is March 31, 2003.

Phase two is to maintain the full text electronic versions of all Canadian theses that have been digitized by UMI Dissertations Publishing since the end of 1997 on a server at the NLC. Functional requirements and cost estimates are also in preparation for this phase of the proposal.

UMI has digitized approximately 45,000 Canadian theses since 1997. We have the server capacity to handle this. However despite the fact that the Director General of the Acquisitions and Bibliographic Services Branch and the Director of Acquisitions both strongly support the initiative we lack the human resources to acquire, archive and manage that volume.

We have also been waiting for several years for a new Electronic Document Management System to facilitate the work of acquiring and archiving electronic publications.

These two issues need to be resolved.

The implementation of phase two of the proposal will require that UMI send all Canadian theses digitized since 1997 to NLC. For theses digitized under the terms of the current contract, effective September 1, 2002, access will have to be restricted on onsite researchers at NLC for the duration of the contract period.

NDLTD Steering Committee Meeting
October 11, 2002
Member Report - UNESCO
Axel Plathe

In general, the ETD movement, an essential component of strategies to make scholarly information electronically available, has been considerably internationalised over the last year in involving an increasing number of universities worldwide. A major push in the internationalisation of the movement was UNESCO's initiative to publish an ETD Guide (now available in English, French and Spanish) aimed at university faculty, librarians and administrators to plan ED projects and to pursue its assistance to the initiative through funding training and pilot projects under the cross-cutting project. On the institutional level, NDLTD is now being established as an organization to coordinate initiatives worldwide. Closer cooperation should be established with other international organizations such as ICSU Press, the International Association of Universities (IAU) and IFLA.

In particular, the following was agreed:

- * UNESCO will support the organization of training courses on the establishment and implementation of ETD project for university faculty, librarians and administrators from developing countries at ETD 2003 (\$35,000; contract with the Humboldt University, Berlin).
- * UNESCO will support the revision of the NDLTD website as central information resource for ETD initiatives (\$5,000, contractor to be identified).
- * Projects in Latin America and the Caribbean should mainly concentrate on developing online training tools (on line tutorial for self study, based on the UNESCO ETD Guide, languages: Spanish, Portuguese, English); the main project partner should be the Catholic University of Brazil (Ana Pavani) involving also IBICT and ISTEAC. The funds available for training (\$50,000) should be pooled together.
- * Projects in Africa (\$ 55,000 earmarked) could be implemented in cooperation with the Library of the University of the Witwatersrand, Johannesburg, South Africa (University Librarian: Felix N. Ubogu).

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- * Visit the UNESCO Archives Portal

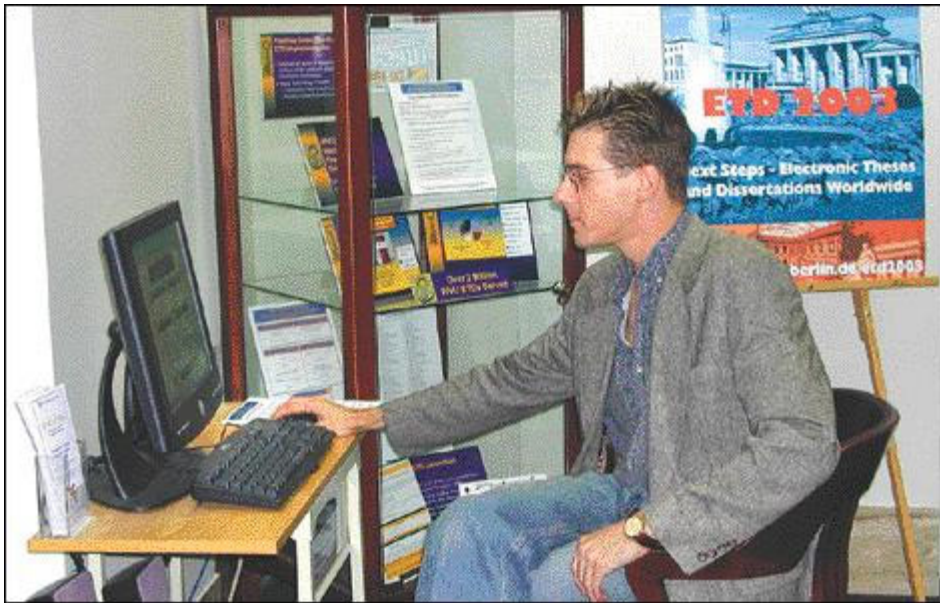
NDLTD Steering Committee Meeting
October 11, 2002
Member Report – West Virginia University
John Hagen

See accompanying PDF file re Proposal to Form the Appalachian Regional ETD Consortium, and inserted *Dominion Post* article from Sept. 27, 2002 re WVU ETD initiative.



September 27, 2002

WVU grad research goes global with electronic thesis program
Master's and doctoral students post their papers on the Web



Jennifer Roush / The Dominion Post

John Hagen, coordinator of the WVU Libraries' program and Electronic Thesis and Dissertation program, views an ETD display in the atrium at the WVU Downtown Campus Library. On the computer, anyone can watch a multimedia video about the ETD program and get information about a global ETD conference.

BY JENNIFER ROUSH
The Dominion Post

The Electronic Theses and Dissertation program has opened up WVU research to the world.

The 1,419-document collection of graduate theses and dissertations averages a million hits a year, said John Hagen, WVU Libraries' program coordinator and ETD coordinator. Last May, the collection scored a peak 2,101,741 hits.

"WVU has never (experienced) such an interest in our local, homegrown research," Hagen said.

The WVU ETD program began in August 1998, and serves as a partial fulfillment for the requirements of receiving a master's or doctorate degree.

Students can choose to allow world access, campus only, campus encrypted (campus only with password) or no access to their thesis or dissertation. Students typically limit access when they have publishing concerns or are awaiting a patent.

Electronic documents allow for advanced multimedia capabilities to be added to the traditional thesis or dissertation -- such as videos, artwork and PowerPoint presentations.

"We're just trying to push the envelope now and get students to do more interesting things," Hagen said. "Since you're going to be doing electronic format, you might as well take advantage of the virtual environment."

Hagen believes ETDs are also part of a package of technology that is transforming the state's economy.

"Certainly the residents and anybody in the state of West Virginia benefits from having this sort of program," Hagen said.

WVU's ETD program also received national attention when it was mentioned in *The New York Times* as a part of the University Wire -- a national collegiate information service -- and was described as successful.

One of the benefits of having ETD is self-promotion, Hagen said. WVU ETD items were accessed 145,000 percent more than print documents in 2000-2001.

The most accessed ETD document at WVU was written by Liyun Zheng, for a doctorate in mechanical engineering in 2000. It received 15,000 hits from January 2001-May 2002. The paper is titled "Process Control of Applied Laser System for Enhanced Glass Production."

WVU was the second academic institution, after Virginia Tech, to require electronic submission for theses and dissertations. Now 12 institutions worldwide require the ETD program.

"Would you rather have a paper copy sitting on the shelf collecting dust, or would you rather have it out there for the world to see?" Hagen said. "When you go to promote yourself and apply for your new job, would you rather be mailing out physical, heavy copies of your thesis or dissertation to promote, or just send e-mails and point them to a spot on the Web where they can find your research?"

An exhibit of the ETD program, including a multimedia video and information about a global ETD conference on computer, is set up in the atrium at the WVU Downtown Campus Library. Those who can't visit the display can view the multimedia video, the conference information and be linked to additional program information at www.wvu.edu/~thesis/ETD_Kiosk.htm.



<http://adt.caul.edu.au/>

**Australian Digital Theses Program
Report to NDLTD Steering Committee
October 2002
Tony Cargnelutti [on behalf of ADT Program]**

Below is a brief summary of activities since May 2002:

1. Status:

- ~700 theses in central metadata repository 13 active sites – with 4 new sites in process of finalising setup and ready to begin contributing
- all CAUL members [all Australian University Libraries] are now considered members of the ADT and will support its development financially
- active participation remains voluntary at this stage
- no institution has yet committed to go with mandatory submission although a number are considering the option. This will take some time to eventuate

2. Governance:

- first meeting of new ADT Policy Committee(ADT-PC) – 31 July 2002. The PC accepted the proposed ADT Business Plan 2002-2006 as the operational plan. The PC has overall responsibility for the governance of the ADT Program and reports to CAUL. Membership comprises: 2 members of CAUL [one being chair], 1 member from each of Council of Australian Postgraduate Associations, National Library of Australia, Deans & Directors of Graduate Schools, ProQuest – Regional Manager, plus CAUL Executive Officer, plus Tony Cargnelutti and Andrew Wells from UNSW. UNSW will continue to administer the ADT Program. A number of issues were discussed at the inaugural meeting – with several being referred to the new technical committee
- first meeting of the new 6 member ADT Technical Committee (ADT-TC) – 17 August 2002. This committee will oversee all technical aspects of the ADT program, provide advice and recommendations to PC. The TC members were elected by CAUL membership and include: Peter Green [Curtin University of Technology, Perth, Western Australia, original ADT project partner]; Janet Fletcher [Macquarie University, Sydney] Marc Huppert [Australian National University, Canberra,

original ADT project member site]; Michael Wood [Deakin University, Melbourne, Victoria]; plus Tony Cargnelutti and Fred Piper from UNSW. I have asked Ed to add the members to the standards committee.

3. Development. The ADT has set a number of goals for its ongoing development. In summary:
 - Extension of the program to cover metadata about all Australian theses into one central repository. This will involve working with the National Library in exporting data from the National Bibliographic Database and mapping it to appropriate DC metadata. This meta repository will include a mix of bib data only, abstracts where available and digital. This project is seen as high priority and will create a unique one searchable source of Australian research metadata.
 - Metadata & Software path. The only variation in standards between the ADT and OAI is the use of qualified DC metadata. The ADT will continue to use its own ADT-Metadata Standard but will develop a process by which OAI compliant ADT metadata will be generated as appropriate. The ADT also plans to develop a new version of its software based on modified ePrint software. The ADT-TC is currently developing the specifications for both these projects for the next ADT-PC meeting on 28 October 2002.
Separate one-off funding will be sought from the Australian Government's Research Council to fund the above initiatives.
 - Statistics package will be integrated into the new software, and an interim set of usage statistics will be specified by the Technical Committee and posted regularly on the ADT homepage.
 - Preservation. The Technical Committee will be keeping an active watching brief on developments and will be working with the National Library to provide guidelines.
 - CAUL has agreed in principle to extend the ADT to CONZUL [the New Zealand equivalent to CAUL]. Preliminary discussion and documentation to be produced.
4. International Activities. The ADT PC is committed to maintain links and supporting the activities of the international ETD movement through the NDLTD.
 - The ADT PC has discussed and is prepared to host ETD2004 or ETD2005. Please advise on how to formally proceed should the NDLTD accept this proposal.
5. NDLTD Promotion Committee – activity report. Although John Hagan and I have not had a chance to discuss this formally, nor to do anything much in a formal capacity [!] I know we both have been promoting and lobbying on ETD initiatives in our respective geographic environments.

- In last 6 months I have spoken a numerous events and to a large number of visitors specifically about the ADT and NDLTD communities and programs. Some examples in the recent 4 months, I have spoken to senior people from
 - New Zealand and the South Pacific
 - Taiwan
 - Japan
 - Vietnam
 - Thailand
 - large group of visiting Scandinavian Librarians
 -

I have particularly mentioned and provided information on the up-coming ETD2003 in Berlin to all, and continue to do so [I have provided information on contacts to both Susanne and Peter as well].