

Networked Digital Library of Theses and Dissertations First Steering Committee Meeting

March 14, 1997: Washington, DC: Association of Research Libraries Headquarters

unedited

present

Etienne Baranshamaje, World Bank
Dennis Barnes, SURA, Southeastern University Research Association
John Barnes, OCLC, Online Computer Library Center
David Bellatti, National Library of Canada
Keith Belton, SOLINET, Southeastern Library Network of OCLC
Garry Bernborn, CNI, Coalition for Networked Information
Michel Bezy, IBM
Joseph Boykin, SOLINET
George H. Brett II, SURA
Roger Clark, CIC (Committee on Institutional Cooperation of the Big 10+ universities)
John Eaton, Virginia Tech, Graduate School
Donald Fischer, US Department of Education
Edward A. Fox, Virginia Tech, Computer Science Dept.
Henry Gladney, IBM
Stephen M. Griffin, National Science Foundation
Neill Kipp, Virginia Tech, Computer Science
Joan Lippincott, Coalition for Networked Information
Tim McGonigal, Virginia Tech, Industrial Psychology
Gail McMillan, Virginia Tech, University Libraries, Scholarly Communications Project
Terry Noreault, OCLC
William E. Savage, UMI, University Microfilms International
Stephen Welch, CGS, Council of Graduate Schools

Fox: Welcome and introductions

Fischer: FIPSE's interest in ETDs--how the country will benefit, not the individual campuses.
ETD grant reflected good planning efforts and immediate action.

Fox: Packet contains new agenda, slide show, UMI slides, ETD approval form, and more.

Eaton: Walked us through the ETD slide show

D. Barnes: How are we grappling with publishers' concerns?

Eaton: We're talking with ACS which will accept limited access ETDs (limited to campus of origin) until one year after the article is published.

Barnes: Was a prepub like Chem Abstracts a concern?

Fox: They haven't yet raised this concern. Dealing with publishers is a major concern and the ETD Team needs guidance from this group. Other areas where we need help: finding more beta sites and access (including economic concerns).

Wrote on board: Education
 DL [digital library]
 Quality
 Access
 Cost

The ETD project will have a major impact on quality, access, and reducing costs.

Bezy: Importance of VT to IBM's digital library initiatives.

Fischer: Questions re follow-up to training

McGonigle: Evaluation process and handout. Attendance at training session reduced number of attempts to submit an ETD and reduced their perceived level of difficulty; technical support also had same effect; average is about two attempts.

Clark: Any plans to “can” training sessions for use at other institutions?

Kipp: Slides are available on Web [<http://etd.vt.edu/etd/>]
New Media Center conducts PDF workshops

McMillan: At Faculty Development Institutes, introduced many faculty to ETD processes and Web sites. See <http://scholar.lib.vt.edu/theses/FDI.html>

Baranshamaje: Is this a “portable” process that wouldn’t require an army of people to implement?

Fox: Yes, e.g., Rhodes; multimedia on the Web; SURA prompted CD-ROMs. Our focus is on getting it to the university so that they can map into their formats.

Kipp: Demonstrated ETDs at UVa on March 12.

Eaton: re SACS accreditation--graduate education and post doctorates: What do students know when they come to the university and how do we assess their needs before they leave the university?

Clark: What other changes in graduate education will result from this process?

Fox: Value of a thesis may be (1) its literature review; (2) process of creating an e-document; (3) access to significant collection will be a way for students to learn about digital libraries.

Eaton: Quality of Ts and Ds are going to improve; 1996 37,000 hits on ETD homepage and more than 1000 downloads attempted. High rate of access from around the world.

Clark: Will this (increased quality) have an effect on time to degree?

Eaton: Thesis doesn’t have to be huge to be good. They have grown in size recently, some theses might as well be dissertations. Quality will improve.

Fox: Another scope issue is that ETDs include honors reports, bachelors theses, and technical reports

Bellatti: Canada 2/3 of 10,000 are theses; during budget crunch suggested dropping theses but there were complaints especially when the masters is a terminal degree.

Eaton: Australian universities have had dissertations only since the 1950s.

Chemistry and mechanical engineering are most antagonistic to VT ETDs: Chemistry’s antagonism is due to ACS’s comments and ME’s is due to their reluctance to digitize images.

STATUS OF BETA SITES

Lippincott: Have university presidents been involved? D. Barnes doesn’t know yet. VT’s Len Peters made a presentation to the SURA Council of Presidents. Intra-institutional communication is often not optimal and key players haven’t even met sometimes.

Fox: Consider time factors and attitude changes needed.

D. Barnes: Are people seeing what the benefits of ETDs are?

Fox: Yes, e.g., benefit of literature reviews in theses. Competition is also an issue--UMI is also scanning and this doesn’t require students to do anything. No benefit to students. Cost is a factor especially if quality is maintained.

Clark: When will you have some economic information about saving real dollars? Library shelving, circulating, binding costs; grad school handling costs

Fox: Back to John’s slide presentation: Why would a university want to be involved? Etc.

Brett: Archiving is important--near term and long range, critical in parallel with UMI/OCLC/etc.

Fischer: Student scholarship available to the world is a real advantage from FIPSE’s point of view.

Brett: Unease about beta software is to be expected but could be leading to slippage--lag time from discussion to implementation.

Lippincott: Are you over extending yourselves at VT? Will you get more participants than you can support?

Fox: Year delay is to be expected and we want to have many in place by end of grant period.

Eaton: Each university needs a champion, at least one who keeps the level of interest high> Library's readily accept ETDs, but Graduate Schools will be much slower to work through the bureaucracy and governance processes. Personnel changes can hugely effect activity levels also.

UMI: Bill Savage (see handout)

Lippincott: how would UMI add value to accessing ETDs?

Savage: UMI has single source advantage. Graduate Students are very skilled in searching. Among multiple sources to search, they usually search only one. UMI may move from 3-months to 1-year free access for archiving institutions--this is what Savage wants so that students can get to current sources.

Brett: Restated Lippincott's question re full text indexing. What are the advantages of professional cataloging/indexing? Are single point access as advantageous as they used to be (e.g., post-WAIS)? Lippincott is looking for , important that institutions understand what value needs to be added to searching systems, MARC for local use but not what students need to do their research. Can UMI count on single point access even though Internet search engines are not good enough yet?

Savage: Exactly re Internet searching. UMI's been coding and indexing for 60 ears and there is still a place for this.

Fox: questions re fees (\$50/40/25)

Savage: Exposure in dissertation database will warrant the outlay by students. Added value and archiving are important issues. Students can count on UMI for permanent archiving. UMI pays royalties (10% beginning with 7th access).

Fox: Do you want comments about this proposal?

Savage: Yes, particularly re submission of masters theses.

Brett: What about standards? DTD SGML? What recommendations will come out re PDFs? How will UMI deal with nontraditional theses?

Savage: UMI is looking for guidance from ND LTD.

Eaton: Usability of document online. Students will make on-screen displays look better and better. Getting away from paper-based research.

Fischer: FIPSE is getting proposals for multimedia works.

[Tangential discussion re T&Ds that don't conform to the current paper standards.]

J. Barnes: Looking for answer to indexing and searching.

Fox: Distributed printouts of UMIs scanned/OCR'd documents.

OCLC: John Barnes (see handouts)

Electronic Collections Online

Publishing and archiving services

Baranshamaje: Will this apply to current journals only?

J. Barnes: Yes, generally whatever publishers have; may work with JSTOR to provide access to back issues.

Fox: Does OCLC want to work with universities to publish/archive ETDs?

J. Barnes: Yes, as a publishing business for academic institutions.

McMillan: Is it publishing when OCLC stores it vs. the originating institution stores it?

Boykin: There is no difference whether library stores and provides access, or OCLC does it.

Brett: It raises flags with publishers, but should be seen as archiving

Clark: In Canada, publishing is a requirement and the UMI filming was publishing.

(Griffin had to leave: NSF/DARPA likes the direction our project is moving. Things are looking bright for NSF support of digital libraries in the future. There will be future opportunities at the federal level. Restructuring of CIC validates this, as does what he's heard today.)

Boykin (question for J. Barnes): What's the benefit to Clemson of giving ETDs to OCLC vs VT, etc.?

J. Barnes Because OCLC is creating a comprehensive publishing program; working with libraries to prepare cost recovery; revenue structure should remain with publisher, OCLC adds value through access and aggregation.

Fox: From a student perspective, would they be paying a fee?

J. Barnes: There is no fee for journals so publishers don't have any disincentive to participate in the OCLC program. OCLC charges for access to cover its costs. We can't yet say about other models, such as fee up front to pay for storage and then share access charges.

Savages: Royalties to whom?

J. Barnes: Publisher is the university, so royalties would go to them. OCLC doesn't yet want to get into the roll of being a publisher for each author.

Lippincott: What does UMI and OCLC want from this group?

J. Barnes: Wants to do a pilot and to discuss further. Maybe just with VT but possibly with others

Savage: UMI is convinced of the value (especially training faculty) of ETDs; wants to pursue masters; wants to work on standards with NDLTD also. This group will allow for coordinated efforts.

Lippincott: You're not asking for exclusive agreements from ETD institutions? Want us to promote publishing and UMI's activities.

Fox: We want UMI to point to VT as VT ETDs point to them.

Noreault: OCLC has demonstrated a long history of interest in helping libraries deal with TDs-- whether archiving, supporting standards, whatever. Still a purpose to help libraries deal with these materials.

Clark: What are the search implications of multiple archives?

Noreault: Separate descriptions of works from the works themselves so that there will be aggregate and separate databases. People will have choices. Where they are archived can be separate from where they are indexed and this has been the case before ETDs.

Eaton: Regional consortium of universities.

Clark: **CIC and SURA discussion:** CIC serves ETDs to its own institutions; uses OCLC or UMI for wider access. Possibilities of larger groupings working together too.

Brett: Monticello Electronic Library project: SURA probably won't host the server. Pricing would be another area in which to partner.

Boykin: Solinet might be a contractor for member institutions.

Gladney: Archive definition and function. An archive exists and is accessible in hundreds of years. Look at study by Waters and Gladney--institutional support must be credible--can UMI say it will be in existence in 100 years? Microfilm has not always been reliable.

Clark: Credibility is an important issue. Faculty have little confidence in publishers that publish only electronically. Faculty will accept assurances from their own university about archiving and access, but not from commercial publishers [who have no history of archiving].

Fox: SURA and Solinet must decide what they want to do in this area, and CIC. Same re Canada and Africa. Responsible pilot efforts from UMI and OCLC is something that our project should advertise. (Fox wants reciprocal links from UMI. Savage nodded agreement.)

Bezy: **IBM** is here to provide technology. This is not a yes or no decision. There is not just one way of doing ETDs, archiving, etc. There will be many ways. More important is how this project will effect future digital works and the academy. Digital libraries provide access to digital works. Leave searching and access to publishers. Work more on multimedia and direct works your efforts where the real needs are. Human beings connected to each other-- link authors to email system so their readers can contact them. There are so many opportunities.

Noreault: Offer universities guidelines for ETDs, what does it mean to archive--what are the questions? Provide issues to consider rather than one set of fixed answers.

Gladney: Complex engineering questions require quiet work for years.

Noreault: Larger role for libraries in this project--what is required for archiving, access, and storage. Make decisions based on the current state of the art of archiving, for starters. Help universities understand the issues.

Brett: Information Industry Association (DC) of newspapers, radios, etc. These are others looking for the business models and we are in a position to supply some of the important data they need.

Clark: Preservation librarians: from crumbling paper to crumbling technologies. Librarians trying to understand the issues.

Noreault: There is no economic rationale based on usage. Libraries have a mission to justify what it is they do--to carry out the costs of archiving and access functions.

Eaton: What is better, to look at one document 100 times in one year, or 10 times in 10 years, etc.?

Baranshamaje: Just access to information is very important.

Fischer: Unique role of our project is training faculty and students. UMI and OCLC don't want to do that. Major importance to these businesses.

Fox: NSF workshop with ARPA and NASA re funding for digital library projects. Significant funding is likely to be available. Wants this group to go after those funds.

ELECTRONIC PUBLISHING

Fox: No books available for students about electronic publishing and standards and what else they can do.

Brett: Need for ETD forms and documents on something portable because not everybody has access to the Web. Don't make it this platform dependent either.

Clark: Some of the top research faculty in the country are using 286s.

General agreement that a book is a good format.

Publishers want it first and want to make money. Copyright is for protection of the expression of the ideas.

Lippincott: Raised the issue that publishers should not see TDs from UMI being different from paper works.

Savage: Published articles are becoming chapters in dissertations.

Noreault and Brett: Leave the [ludites] alone and they will fall behind and become a minority that isn't preparing their students to become electronic publishers.

Eaton has copies of internal solution: new form for committees to sign their approval of an ETD. New option is like current status of TDs on shelves.

Noreault: Discussion is OK; the model publishers are looking for is one that continues to make profits.

Fox referred everybody to packet information re discussions of issues with publishers.

Clark's question re limited number of accesses.

Fox says after x number, author goes to publisher with proposal for a book.

Clark: x number all that wanted to read the book and they already have it.

Boykin: Number of ways to attack the problem. Currently libraries do not restrict access, if you come to campus. Extend this model to ETDs.

McMillan: What about interlibrary loan access?

General agreement: Requesters should get it through UMI.

McMillan: But how will UMI get the ETD when access has been restricted? This means that libraries will be providing LESS access to some ETDs than they were able to provide with the paper version.

Eaton: Train students about copyrights.

Gladney: In trying to provide more access, many are trying to get their cut first and slow down access.

Kipp: Copyright expert for this panel?

Lippincott: CNI and ARL might play a role here. ACLS--CNI works closely with them.

Clark: Outside scope of this committee perhaps, but CIC has a group of lawyers dealing with ownership and property and consortial perspective on intellectual property.

Noreault: To be successful, you may have to ignore some big problems. Do it anyway because opposition will have to back down in the face of mass movement to ETDs.

Lippincott: At ARL Pru Adler is working on copyright and Mary Case is working on licensing issues.

DIGITAL LIBRARY

Kipp: NDLTD fall 96 project using DIENST software, indexed titles and abstracts of 80 documents; UVa has problems with DIENST also; Cornell continues to develop it.

Fox: vBNS connection approved so DIENST server will be faster to access. Big plus for using IBM software.

Eaton: VT Graduate School just reviewed 40 Mb file from Ohio. Most ETDs are 1-2 Mb. PURL and Handle servers; IMB developing higher level tools for security and encryption.

Recommendations for additional Technical and Steering Committee members:

Eaton: another higher education representative--NASULGC

Fox: someone from ARL

BROAD QUESTIONS FOR DISCUSSION

Changes in graduate education and ripples throughout research

CGS -- Eaton sent Jules a letter re issues this organization could consider and report to their members. CGS should be more active.

Eaton: We need a champion who will take action to make this more than a VT initiative -- regionally or CIC or nationally.

Boykin and Lippincott: Right now we don't need to be too broad.

Fischer: States sometimes have plans for libraries and can be a force behind ETDs.

Brett: Be careful what you ask for (like Lippincott said earlier). Work on your training materials.

Noreault: Get other successful sites. Just visit qualified customers and give them what it takes for them to be successful.

Clark: Professional training materials so that it looks like an established success. This may be more useful getting more sites than our personal visits. Develop the tools to do it.

Noreault: Don't treat each visit as if it was going to be successful. Go for success. Send one person to evaluate the opportunities.

Boykin: how do we make the transition from a site visit to implementation?

Francis: Before making second visits, ask the site to accomplish certain things--meetings among certain groups of people, software installations, etc.

Fox: Use of incentives: Microsoft has SGML Author for Word (\$600/copy, gave 200 copies) plus we built template for ETD ML. Adobe 3.0 plus Unix version. First 20 collaborators get theses.

Bellatti: He is meeting with several Canadian institutions later this month.

Kipp: Usability studies.

Meeting adjourned at 4 pm.

GMc SC970314

<http://scholar.lib.vt.edu/theses/NDLTD/SC970314.pdf>