

ETDs in Canada: trends and best practices

Nancy Stuart
University of Victoria
ETD 2012
Lima, Peru



ETDs in Canada: trends and best practices



Overview

- History of ETDs in Canada
- Fall 2011 survey
- Trends
 - Institutional repositories
 - ETD programs
 - Embargoed or restricted ETDs
 - Harvesting
 - Preservation





Overview

- Best practices
 - Mandatory submission
 - Embargoes
 - Metadata
 - Multi-media / Multiple files
 - Preservation
- Future of ETDs in Canada





History of ETDs in Canada

- Theses Canada program began 1965
- Pilot program to acquire ETDs 2003
 - Harvest both metadata and ETD
 - Preservation
- Benefits
 - Save space
 - Open access
 - Theses Canada portal





Fall 2011 Survey

- Survey instrument was Survey Monkey
- 33 institutions responded
- Response rate was over 50%
- Two goals:
 - Growth of IRs
 - Determine state of ETD programs
- Follow up from a 2009 survey





Trends: Institutional repositories (IR)

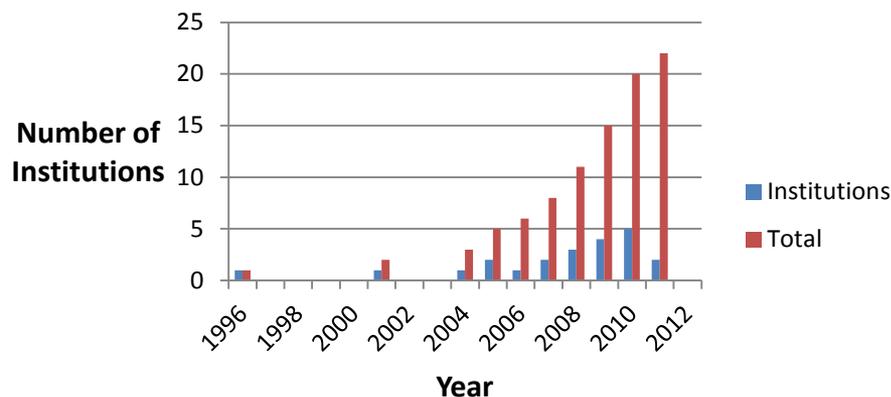
- 76% of Canadian institutions surveyed have an IR
- 50% without an IR have plans to implement one
- Most popular software: DSpace
- First IR in 2003
- 25 IRs in 2011



Trends: ETD programs

- First ETD programs launched in 1996 and 2001
- 67% of institutions (22) have an ETD program
- 60% require mandatory submission

Number of institutions launching ETD programs by Year





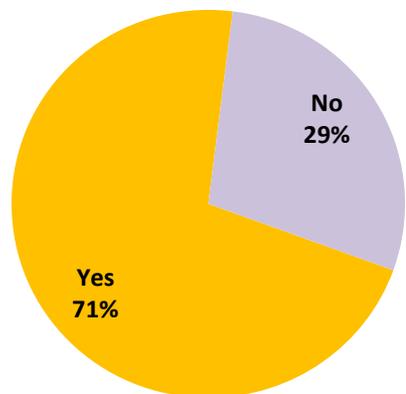
Trends: Embargoed or Restricted ETDs

- Def'n: to restrict access for a period of time
- Open access vs. restricted
- 72% of institutions surveyed allow restricted ETDs
- Common periods: 6 months, 1, 2 or 5 years



Trends: Harvesting

- Library and Archives Canada harvested first ETDs in 2003
- Unique: harvest both metadata and PDF
- In 2011, 71% of ETD collections (16) are harvested by LAC



Trends: Preservation

- Microfiche/microfilm standard preservation medium for theses
- Transitioning to digital preservation
- Since 2011 LAC stopped microform copy of the ETD, only digital
- Only 36% of Canadian institutions still retain a microform copy from ProQuest





Best practices: Mandatory submission

- ND LTD (Networked Digital Library of Theses and Dissertations) website
 - ETD Guide
- Theses Canada Portal website
 - How to setup ETDs
- Start with mandatory submission
- Difficult to transition from voluntary to mandatory





Best practices: Embargoes

- 25% - 34% restricted
- No consensus on good practices concerning embargoes/restrictions
- Open access vs. restricted
- Indefinite “forever” embargoes
- Governed by university policy
- 6 months, 1 yr., 2 yr., and 5 yr.



Best practices: Metadata

- NDLTD - ETD-MS schema
<http://www.ndltd.org/standards/metadata/etd-ms-v1.00-rev2.html>
- Four qualifiers for thesis.degree
 - name
 - level
 - discipline
 - grantor

`<degree>`

`<name>PHD</name>`

`<level>doctoral</level>`

`<discipline>Sociology</discipline>`

`<grantor>University of Victoria</grantor>`

`</degree>`





Best practices: Multi-media / Multiple files

- ETDs encourage multi-media creativity
- Innovative ETD award
- Multiple files / various formats acceptable
- Canada – single PDF file for harvesting
- Adobe Acrobat e-portfolio
- Example:
<http://hdl.handle.net/1828/3414>





Best practices: Preservation

- MetaArchive – United States
- DigitalPreservationEurope(DEP) – Europe
- ProQuest
- LOCKSS network – COPPUL consortium – Canada





Future of ETDs in Canada

- ETD programs expanding
- Support & collaboration
 - LAC – Library and Archives Canada
 - CARL – Canadian Association of Research Libraries
 - ND LTD – Networked Digital Library of Theses and Dissertations
 - ETD-L listserv – ETD-L@LISTSERV.VT.EDU



Thank you

Questions or comments

nstuart@uvic.ca

