7 | Electronic Theses and Dissertations: Preparing Graduate Students for Their Futures

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The convergence of electronic theses and dissertations (ETDs)[1] and institutional repositories (IRs) has raised some concerns. Among them is the appropriateness of requiring that works in the repository be publicly accessible. This should not be an issue at the many universities that include dissemination of knowledge in their mission statement.[2] For example:

> Texas A&M University is dedicated to the discovery, development, communication, and application of knowledge. (Texas A&M University, 2015)

> The University of Virginia . . . serves the Commonwealth of Virginia, the nation, and the world by . . . advancing, preserving, and disseminating knowledge. (University of Virginia, 2015)

> The discovery and dissemination of new knowledge are central to [Virginia Tech's] mission. (Virginia Polytechnic Institute and State University, 2014)

IRs enable institutions to fulfill their knowledge dissemination goals by providing public access to the institutions' "knowledge products" such as ETDs. In "The Value Proposition in Institutional Repositories" Blythe and Chachra describe the role of libraries as IR managers that "capture, retain, and leverage the value in the knowledge products of institutions and their

members" (Blythe & Chachra, 2005, p. 77). Of course, all higher education institutions have a responsibility to their communities to have clear and accessible policies and to balance the intellectual property rights of their knowledge-product authors with the mission of the institution and the goals of its IR. Members of the university community are also responsible for informing themselves about their institution's policies.

GRADUATE STUDENTS' RESPONSIBILITIES

When students enroll in graduate programs it is incumbent upon the students to understand the goals and requirements of their programs, which are extensions of the goals of their universities. Graduate students should understand from the beginning whether they will be required to produce a thesis or a dissertation in partial fulfillment of a degree. They should understand that these works are part of the knowledge disseminated by their universities and they should understand the dissemination policy. Graduate students expect their theses and dissertations to go to the library and they similarly expect them to be available to library users. Students today are well aware that libraries are so much more than a building on campus with shelves of books and journals, that libraries are remotely accessed information resources available to and used by their institutions' constituents and sometimes the general public.

Graduate students have chosen their institutions based on a variety of factors, and public-access policies for ETDs should be one of those factors. This will be a lesson well learned by those who will seek funding since they will need to know which federal agencies and private funders require that articles based on funded research be available to the public in open access repositories. Some funding agencies allow delayed open access, just as most institutions allow access to ETDs to be temporarily restricted to the home institution or embargoed (i.e., withheld) from all access according to the "2013 NDLTD Survey of ETD Practices" (McMillan, Halbert, & Stark, 2013). At 39% of the survey respondents' institutions all ETDs are publicly available, 2% reported that none are, and 54% of the 171 institutions responding reported that they "temporarily limit some or all ETDs to university-only access." There was an interesting drop to 108 survey responses to the question, "Does your institution have embargoed ETDs?" Ninety-one percent embargo some ETDs, 8% have no embargoed ETDs, and 1% embargo all of their ETDs.[3]

Libraries were at the forefront of ETD initiatives even before they took the lead in the open access movement. In both cases libraries advocated a universal public good. While libraries have traditionally focused on meeting readers' needs, 21st-century libraries are increasingly involved in the entire life cycle of information, including publishing where they are not usually constrained by profit or even cost-recovery motives.

GOALS OF THESES AND DISSERTATIONS

The thesis or dissertation requirements at American universities and colleges are designed to meet a variety of goals. According to the Council of Graduate Schools (Lang, 2002, p. 690; substantially unchanged from *The Role and Nature of the Doctoral Dissertation* [CGS, 1991, p. 3]), the thesis or dissertation

- Reveals the student's ability to analyze, interpret, and synthesize information
- Demonstrates the student's knowledge of the literature relating to the project or at least acknowledges prior scholarship on which it is built
- Describes the methods and procedures used
- Presents results sequentially and logically
- Displays the student's ability to discuss fully and coherently the meaning of the results

In 2009 the CGS acknowledged that "The bound doctoral dissertation or Master's thesis are now things of the past. . . . In the future, graduate education must grapple with encouraging new outputs such as three-dimensional models, video footage, and non-linear research projects. It is likely that in the future these and other innovative forms of the presentation of research will come to dominate graduate education. Digital imaging and new publication formats will likely raise new ethical questions and make some old ethical challenges such as image manipulation and plagiarism more prevalent. At the same time libraries and future researchers will continue to require ready access to such materials" (CGS, 2009, p. 14).

The Carnegie Initiative on the Doctorate described the purpose of graduate education as preparing stewards of the disciplines—people "who will creatively generate new knowledge, critically conserve valuable and useful

ideas, and responsibly transform those understandings through writing, teaching, and application" (Walker, Golde, Jones, Bueschel, & Hutchings, 2008, p. 161). Covey defined a steward as someone who works beyond one's own career, "transforming knowledge through creative application and effective communication to different audiences in a different media" (Covey, 2013, p. 544). Restricting ETD access is an example of poor stewardship. "What is at play here is a profound cultural and cognitive tension between the safe and familiar closure of print literacy and the wild and unknown openness of digital literacy" (Covey, 2013, pp. 544–545). Among the ETD stakeholders are representatives of the tensions that this chapter briefly examines.

ETDs are stewarded by organizations as well as individuals. A notable organization is the Networked Digital Library of Theses and Dissertations (NDLTD), with a board of directors that is made up of many international ETD stakeholders. The NDLTD "support[s] electronic publishing and open access to scholarship in order to enhance the sharing of knowledge worldwide" (http://www.ndltd.org/). In the mid-1990s the NDLTD assumed the role of ETD advocacy and support, among other activities creating an annual conference for all stakeholders to share their successes and challenges.

In May 2002 the NDLTD formalized its mission during a strategic planning meeting, which presented a balance among the ETD stakeholders' goals. Specific objectives were the following:

- Improve graduate education by allowing students to produce electronic documents, use digital libraries, and understand issues in publishing
- Increase the availability of student research for scholars and preserve it electronically
- Lower the cost of submitting and handling theses and dissertations
- Empower students to convey a richer message through the use of multimedia and hypermedia technologies
- Empower universities to unlock their information resources
- Advance digital library technology

In 2004 the NDLTD began two award programs, one recognizing graduate students with the Innovative ETD Awards, and one recognizing leaders of ETD initiatives. The purpose of the Innovative Awards program is to

"acknowledge the importance of technological innovation, to promote the open exchange of scientific and cultural research information as well as to facilitate the potential for change in scholarly communications" (NDLTD, 2013). Brief descriptions of NDLTD award winners and their successes following graduate school tell the very positive effects and benefits of publicly accessible ETDs.

Shirley Stewart Burns wrote and made accessible "Bringing Down the Mountains: The Impact of Mountaintop Removal on Southern West Virginia Communities" for her dissertation at West Virginia University in 2005 (http://hdl.handle.net/10450/4047). It was later published as *Bringing Down the Mountains,* a bestseller for the WVU Press (http://wvutoday.wvu.edu/n/2008/03/26/6644). Burns went on to serve as historical consultant for the documentary film *Coal Country*.

Pete Souza wrote and made accessible "A Photojournalist on Assignment" for his master's thesis at Kansas State University in 2006 (http://hdl.handle.net/2097/254). He went on to become an assistant professor at Ohio University and then the official White House photographer for President Barack Obama.

Heather Forest wrote and made accessible "Inside Story: An Arts-based Exploration of the Creative Process of the Storyteller as Leader" for her dissertation at Antioch University in 2007 (http://aura.antioch.edu/etds/9/). She is the founder and executive director of Story Arts Inc. in Huntington, New York.

As if drawing on these future examples in her 2002 article, "Electronic Dissertations: Preparing Students for Our Past or Their Futures?" Susan Lang, professor of English at Texas Tech University, pointed out that ETDs have the potential to extend the work of the academy more deeply into the public sphere (Lang, 2002, p. 686). Jude Edminster and Joe Moxley (English faculty at Bowling Green and the University of South Florida, respectively) similarly wrote, "If we are to realize the potential that ETDs have to further equitable distribution of the information wealth many cultures in the West take for granted, then perhaps graduate students' more studied consideration of the ethical limits of authorship rights is warranted" (Edminster & Moxley, 2002, p. 100).

But today we hear entreaties from the American Historical Association (AHA) and others to embargo ETDs, countering Lang and Edminster

and Moxley with warnings of dire consequences if ETDs are publicly available. As the Council of Graduate Schools put it in *Graduate Education in 2020,* "the continuing struggle [is] to articulate the vision of graduate education as a public benefit, not simply as a private good" (CGS, 2009, p. 8).

International NDLTD Innovative Award winners like Franci Cronje exemplify this philosophy. She wrote and made publicly accessible "Problems Presented by New Media in South African Public Art Collections" for her master of arts in fine art thesis at the University of Witwatersrand in Johannesburg, South Africa in 2002 (http://hdl.handle.net/10539/10092). She went on to get her PhD at the Centre for Film and Media Studies at the University of Cape Town before becoming the head of academics at Vega School of Brand Leadership in Cape Town, South Africa.

ETDs provide their authors with a preview of participating in, and contributing to, the scholarship of the academic community. Libraries are the intersection between authors and readers/researchers, hosting the works of the authors and making them available to readers. ETDs provide us with pedagogical opportunities on many fronts. Among these opportunities is instruction about copyright issues. Librarians instruct both groups about their rights and responsibilities.

OWNERSHIP

Lawyer and librarian Kenneth Crews is well known for his wise council and instructional sessions on copyright. He has written about educational and library exceptions in copyright law for the World Intellectual Property Organization, and he was tapped by ProQuest to prepare a guidance document for ETD authors. "The recurring point of this overview is the importance of making well-informed decisions" (Crews, 2013, p. 5):

> *You are most likely the copyright owner*. Copyright ownership vests initially with the person who created the new work. If you wrote the dissertation, you own the copyright. However, it is possible that you may have entered into a funding or employment arrangement that would place copyright ownership with someone else. Review your agreements carefully.

These agreements include those between graduate students and their institutions. Like knowledge product dissemination, copyright ownership is another institutional policy that all ETD authors should inform themselves about. Like many universities, Virginia Tech's policy is easily found from a search for "intellectual policy" or "copyright policy" from the university's home page. VT Policy 13000 refers to the "traditional results of academic scholarship," which include theses and dissertations:

> Intellectual properties in the first (traditional) group are considered to make their full contribution to the university's benefit by their creation and by continued use by the university in teaching, further development, and enhancement of the university's academic stature; the presumption of ownership is to the author(s). Thus, unless there is explicit evidence that the work was specifically commissioned by the university, the IP rights remain with the author(s) and the university rights are limited to free (no cost) use in teaching, research, extension, etc. in perpetuity.

Another sample copyright policy that clearly articulates ownership can be found at Texas Tech University (TTU, 2014, p. 7):

> TTUS does not claim ownership to pedagogical, scholarly, or artistic works, regardless of their form of expression. Such works include . . . those of students created in the course of their education, such as dissertations.

In spite of these policies, according to some legal interpretations, universities are not necessarily required to get agreements from ETD authors regarding the accessibility of their works. LeRoy S. Rooker, director of the Department of Education's Family Policy Compliance Office, specifically addressed student works when he wrote that

> Undergraduate and graduate "theses" often differ in nature from typical student research papers and other education records,

> such as written examinations, in that they are published or otherwise made available as research sources for the academic community through the institution's library. It has been and remains our understanding that in these circumstances an educational institution would ordinarily have obtained the student's permission to make his or her work available publicly before doing so, perhaps in connection with notifying the student of specific course or program requirements.

Consequently, an institution need not obtain a student's signed and dated specific written consent to disclose or publish a thesis in the library or elsewhere at the institution. Neither the statute, the legislative history, nor the FERPA regulations require institutions to depart from established practices regarding the placement or disclosure of student theses so long as students have been advised in advance that a particular undergraduate or graduate thesis will be made publicly available as part of the curriculum requirements. (ALAWON, 1993)

"We do not change our policies simply because our educational delivery methods have changed" was the admonition by Richard Rainsberger, FERPA expert, when speaking at the 2001 ECRURE conference, Preservation and Access for Electronic College and University Records (Rainsberger, 2001, slide 7).

Prior to ETDs universities did not ask authors for permission for the library to store and provide access to their works. But the authors were required to submit copies for the library to preserve and make available. With the advent of ETDs universities began asking their authors to formally give permission for preservation and access through the library's IR. What had been standard practice for more than 100 years became codified.

At the beginning of its ETD initiative Virginia Tech adopted what has become a typical agreement between ETD authors and their institutions:

> I hereby grant to Virginia Tech and its agents the non-exclusive license to archive and make accessible, under the conditions specified, my thesis, dissertation, or project report in whole or in part in all forms of media, now or hereafter known. I retain all other ownership rights to the copyright of the thesis,

> dissertation, or project report. I also retain the right to use in future works (such as articles or books) all or part of this thesis, dissertation, or project report. (Virginia Polytechnic Institute and State University, 2012)

Hawkins, Kimball, and Ives pointed to the "unequal relationship of power between universities and students" (Hawkins et al., 2013, p. 33) when they derided ETD requirements. Other faculty, however, see the university as willingly challenging the "hierarchical dynamic" by requiring ETDs. Char Miller at Pomona College described it as granting "privilege and power to student [ETD] authors. . . . Open Access empowers all scholars, not just those with a Ph.D. appended to their last names" (Miller, 2013, p. 5).

A huge part of dealing with ETD issues is a graduate education that clearly informs students about their copyrights. But graduate students must also understand what options they will have to chose from about providing access to their capstone projects. Choices about access should be based on real data and not perceptions and fears based on hearsay or isolated incidents. These data have been gathered and reported since 1998 (Eaton, Fox, & McMillan, 1998, 2000),[4] and as recently as 2011 (Ramírez, Dalton, McMillan, Read, & Seamans, 2013; Ramírez et al., 2014). Well into the second decade of ETD requirements at many institutions the AHA recommended the already common practice: universities should have flexible policies that will allow PhD candidates to decide whether or not to embargo their dissertations (AHA, 2013). But its six-year embargo recommendation controverts the data that are readily available.

"The Role of Electronic Theses and Dissertations in Graduate Education" appeared in the January 1998 issue of the *Communicator,* the Council of Graduate Schools' newsletter. The authors, Eaton, Fox, and McMillan from Virginia Tech, outlined the benefits and challenges, concluding:

> Hopefully this editorial will help graduate deans and others understand the potential and real benefits of this [ETD] project, and to realize that, contrary to what some have claimed, it is not a threat to the employment of graduate students in academic positions, not a threat to faculty promotion and tenure, and not a threat to the publishers who through the peer review process

> improve derivative manuscripts that are based upon the rich mine of information contained in ETDs. (Eaton et al., 1998, p. 4)

DATA

Eaton and colleagues followed up in the November 2000 *Communicator* with the results of a survey of the first cohort of graduate students whose ETDs had been available on the Web for more than a year (n = 329). Of the 166 ETD authors who returned the survey, 29% responded "yes" when asked if they had "published derivative works (journal articles, books chapters)" from their ETDs. When asked if they "encounter[ed] resistance from any publishers to accepting your manuscript for publication because it was 'online,' 100% said, 'No'" (Eaton et al., 2000, p. 1).

Another survey question was about satisfaction with being contacted as a result of having a Web-accessible ETD:

> If you were contacted, how satisfied were you with the contact:
>
> a. Helped you advance your research interest?
> b. Helped you to locate a job?
> c. Helped you expand your network of research colleagues?

The results were as follows:

	Satisfied or Somewhat Satisfied	*Unsatisfied or Somewhat Unsatisfied*
Advanced research	68%	32%
Locate job	40%	60%
Expand network	82%	18%

Additional studies done in 1998–2001 by Joan Dalton and Nan Seamans showed that journal editors would consider manuscripts derived from ETDs. Ramírez and colleagues updated the Dalton and Seamans studies in 2011–2012, subsequently reporting findings in *College and Research Libraries*. In their 2014 article, "Do Open Access Electronic Theses and Dissertations Diminish Publishing Opportunities in the Sciences?" they

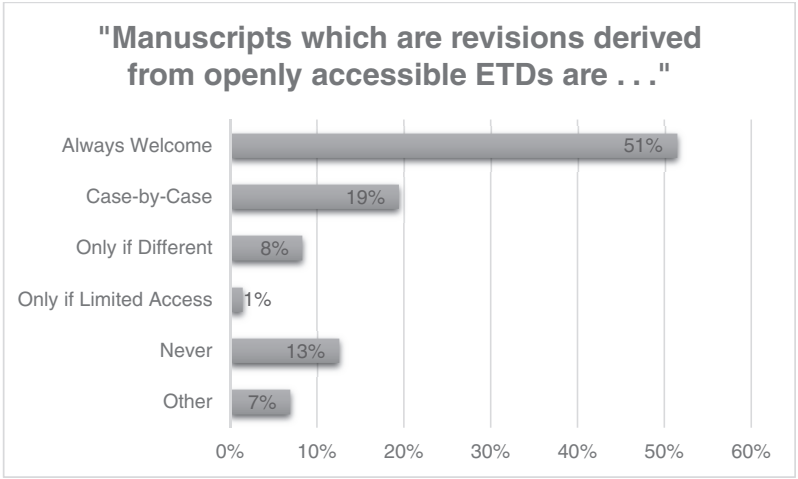

Figure 7.1. Survey responses from science journal editors.

provided data to mitigate the fears concerning the negative effect online discoverability of ETDs might have on future opportunities to publish those findings. Science journal policies regarding open access ETDs revealed that more than half of the journal editors (51.4%) responding to the 2012 survey by Ramírez and colleagues reported that manuscripts derived from openly accessible ETDs are *welcome* for submission and an additional 29% would accept revised ETDs under various conditions (see Figure 7.1). The previous (2011) survey by Ramírez and colleagues of university press directors and humanities and social science journal editors had consistent results.

As Ramírez and colleagues pointed out in the online comments following publication of "Do Open Access Electronic Theses and Dissertations Diminish Publishing Opportunities in the Social Sciences and Humanities? Findings from a 2011 Survey of Academic Publishers," the data clearly indicate that 72% of these journal editors and university press directors would either welcome or consider on a case-by-case basis manuscripts derived from ETDs. Only 4.5% of respondents indicated they were unwilling to consider manuscripts derived from publicly accessible ETDs (Ramírez et al., 2013; see Figure 7.2).

Though university press directors' responses vary from those of the social sciences and humanities journal editors, no more than 7% would never consider a manuscript based on an accessible ETD. This points to the need

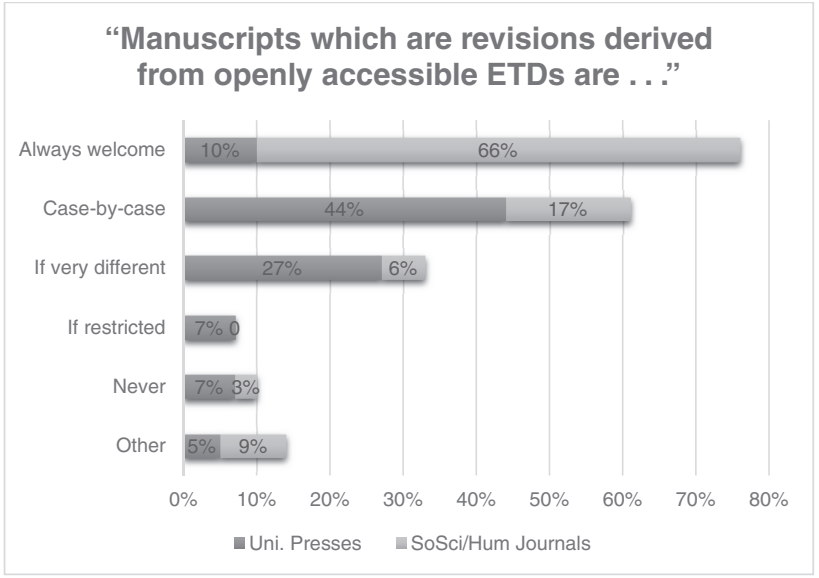

Figure 7.2. Survey responses from social sciences/arts/humanities journal editors and university press directors.

for graduate students to consider publishers' policies prior to completing their ETDs so that the graduate students can make fact-based decisions about ETD accessibility choices rather than relying on urban legends to inform last-minute decisions about the level of access their ETDs should have. Comments from the university press directors and journal editors were overwhelmingly positive that manuscripts based on ETDs should be submitted to them for consideration (Ramírez et al., 2013, pp. 375–376). Following is a sampling of survey respondents' comments.

> Whether in hard or e-copy, we expect the dissertation to be completely revised before we will consider a manuscript. We do not consider the dissertation to be the equivalent of a book. It is a student work; a book is a professional work. (Press director)

> A PDF of an unpublished work is still an unpublished work. It simply can't work to have a scientific model where work-in-progress is disqualified for publication if it's been posted on a web server. (Journal editor)

> Some manuscripts, even if published electronically as dissertations, are appealing regardless of their electronic availability because the audience for them in print form is substantial enough that it does not matter. There is a substantial market for certain works of Civil War history, for instance, that is quite broad. The lay readership for Civil War history, for instance, wants to have the book and would not likely know or have access to the text in dissertation (electronic) form. Even if they knew, they would likely still want the book. (Press director)

> I base my judgments on value added, as it were; i.e. whether there is sufficient original material to warrant space in the space limited environment of my journal. (Journal editor)

During the 2011 survey, science journal editors commented (Ramírez et al., 2014, p. 817):

> Work which has not been published in archival peer reviewed journals is considered appropriate for submission, even if it is accessible elsewhere.

> Our journal has essentially ignored any potential conflict arising from publication of ETDs, because the situation is really not different from the days of hard copy thesis holdings by University libraries. They . . . are simply more easily available now. . . . Thesis without peer review in an open access format will never be considered "double publishing."

> A peer-reviewed publication that comes out of a dissertation or thesis should not only be encouraged but is crucially important for the scholar's development and the advancement of scientific knowledge.

There were many commonalities among the social sciences, humanities, and sciences survey respondents. For example, for an ETD to be published,

they all require that ETDs be revised to appeal to a different audience and to meet the quality standards of the publisher, among other considerations.

The data show that manuscripts derived from ETDs would not be rejected outright, but would be welcomed, considered on their own merit, or considered provided they have met other criteria, giving a clear indication that not only was the open access digital availability of the source not the only issue, it also was not the overriding issue. Quality of content and potential market for the work, quite rightly, remain the overriding considerations of publishers (Ramírez et al., 2013)

These data should override the hearsay and urban legend. These data should replace unsubstantiated statements like those the AHA made when it neglected to support the claim that "an increasing number of university presses are reluctant to offer a publishing contract to newly minted PhDs whose dissertations have been freely available via online sources" (AHA, 2013). The AHA failed to address another source of ETDs, the commercial vendor ProQuest, previously known as UMI.

SEARCH ENGINES, UNION CATALOGS, AND PROQUEST

A tradition many universities continue is based on the days when *Dissertation Abstracts* was the most comprehensive source of information about completed dissertations. Today there are several sources, not only of dissertations but also theses metadata. These include the NDLTD as well as WorldCat[5] and the Open Access Theses and Dissertations portal (http://oatd.org),[6] among others. Graduate students are often unaware of these harvesters that don't require forms, signatures, or payment to make ETD metadata publicly available.

Some graduate students see ProQuest as providing an additional opportunity for recognition and a potential source of royalty income. Some students mistakenly believe that ProQuest plays a validating role for their works. Others see it as a solely commercial enterprise that they should not be required to support even once by giving ProQuest their ETDs to sell, never mind twice by also paying ProQuest to gate their ETDs behind a paywall. Some are confused by the ProQuest option for the graduate students to pay an additional fee to remove the paywall for readers' access to their ETDs in ProQuest databases when most of their universities simultaneously provide payment-free public access.

Every few years the topic of the ProQuest requirement resurfaces on the listserv devoted to all topics related to ETDs, ETD-L, beginning November 27, 2007, and most recently February 23, 2011, when ETD-L distributed the query, "Has anyone stopped sending ETDs to ProQuest?" On January 8, 2013, ETD-L hosted Gail Clement's announcement that her blog, "FUSE: Free US ETDs," addressed "U.S. Institutions Respecting Student Choice in Disseminating Their ETDs" (Clement, 2013). It listed 17 well-respected universities that went against tradition and made submission to ProQuest an option for their graduate students. Among others, her blog pointed to "Stanford Dissertations Moving from ProQuest to Google: An Interview with Mimi Calter" by Mary Minow (at http://fairuse.stanford.edu/2009/11/20/stanford-dissertations-google/). Calter expressed a not atypical sentiment among those who have moved to optional ProQuest participation by graduate students.

> Minow: I understand that this move away from ProQuest means that Stanford student work will no longer be included in Dissertation Abstracts unless the student makes an affirmative effort to submit to ProQuest. What are the implications for the broader research world of such a step?
>
> Calter: It is a concern, but our sense is that the wide availability and visibility of the dissertations through the Stanford catalog and Google will more than compensate for the lack of a listing in Dissertation Abstracts.

In addition to Stanford the 16 universities that discontinued the traditional ProQuest requirement are Boise State University, Brown University, Florida International University, George Tech, Louisiana State, MIT, Miami, University of Central Florida, University of Georgia, University of Michigan, University of North Florida, University of Tennessee Knoxville, University of Texas Austin, Worcester Polytechnic, Johns Hopkins, and Carnegie Mellon (Clement, 2013). ETD-L contributors suggested additional universities, including the University of Pittsburgh, University of Kentucky, University of Memphis, Auburn University, University of Oregon, California Polytechnic State University San Luis Obispo, and in Canada, Laval

University and the University of British Columbia (http://listserv.vt.edu/cgi-bin/wa?A0=ETD-L).

Other institutions have less transparent policies in response to student complaints about the ProQuest requirement. While many institutions require that all doctoral candidates, upon approval of their ETDs, submit the ProQuest form, not all institutions follow up to ensure that the forms have been properly completed and signed or that the ProQuest fee has been paid. These staff are listening to their constituents, graduate students, and adhering to the letter of their institution's requirement. They are not doing this in secret, but it is the road they have chosen to follow when their institution is not willing to examine their tradition of requiring students to engage in a commercial relationship with a party outside the academy in order to graduate.

CONCLUSION

Various stakeholder communities have developed around ETDs. There are the graduate student ETD authors, their faculty advisors, graduate schools that oversee the degree processes, libraries as curators of knowledge products, readers and researchers, organizations such as the NDLTD and ProQuest, and ETD search engines. This chapter has briefly considered the relationship each community has with ETDs. This chapter also provides some of the data gathered in the last 15 years about publicly available ETDs.

If the data currently available are not sufficient, then let us gather more and share it openly, not embargo it behind gated repositories or journal paywalls. Let's eschew using statements like a "fair number of publishers" and the faculty member's adage, "at least one former graduate student," when we do not have the data or actual examples. Let's use the data from journal editors and university press directors to encourage graduate students to make their ETDs publicly accessible through their institutional repositories. Let's encourage graduate students to research which publishers they should consider submitting their ETD-based manuscripts to rather than letting them make spur-of-the-moment decisions to limit or embargo access. The NDLTD Innovative ETD Award winners, among others, demonstrate the success of publicly accessible ETDs.

As information professionals we need to curb our enthusiasm for open information access and emphasize what graduate students need to know to thrive once their works are publicly available in the IR. We do not hide any

of the facts; we are open about ETD and IR access options. We do not favor default embargoing information and knowledge products such as ETDs. We favor open by default so as not to make hiding information too easy, but we are not coercive. Graduate students must inform themselves about the requirements for their degrees, including whether their ETDs will be publicly accessible by default and whether they must pay to have them placed behind a paywall. Limiting access on the basis of financial contracts is not an ethical way to promote the academy's knowledge products.

In "The Academic Ethics of Open Access to Research and Scholarship," Willinsky and Alperin (2013, p. 33) note:

> What we cannot do is ignore the ethical dimensions of this issue. We must come to a shared understanding of what our obligations are in undertaking this research and scholarship. . . . Our hope is that . . . we might move forward "in search of the ethical university," so that the ways and means by which we distribute what we have learned, as a matter of public trust and public good, might become more public and widely available. It seems like the right thing to do.

NOTES

The title of this chapter is borrowed from Lang (2002, p. 680).

1. Here we use the American definition of master's theses and doctoral dissertations. In this chapter ETDs refers to born-digital theses and dissertations.
2. Hawkins, Kimball, and Ives, English faculty at Texas Tech and Texas A&M, seem to miss the point about "the library's and university's core mission and values" when they complain about the "enthusiasm for OA [open access]" (Hawkins, Kimball, & Ives, 2013, p. 34).
3. Unpublished data associated with McMillan et al. (2013; https://vtechworks.lib.vt.edu/handle/10919/50978) presentation prepared for the 16th International Symposium on Electronic Theses and Dissertations, Hong Kong.
4. See also Dalton, J. (2000, March). ETDs: A survey of editors and publishers. In *Proceedings of the 3rd International Symposium on Electronic Theses and Dissertations ETDs*. Retrieved from http://docs.ndltd.org:8081/dspace/handle/2340/169; Seamans, N. (2003). ETDs as prior publication: What the editors say. *Library Hi Tech, 21*(1), 56–61.*;* and Dalton, J., & Seamans, N. (2004).

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5. "WorldCat consistently had twice as many citations for which ProQuest had no records. WorldCat provides an important means of locating electronic theses and dissertations" (Procious, 2014, p. 144).
6. As of September 23, 2015, OATD indexes 2,918,516 theses and dissertations (https://oatd.org/).

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