

# **AN INVESTIGATION OF ETDS AS PRIOR PUBLICATIONS**

## **Findings from the 2011 Publishers' Survey**

NDLTD Prior Publications Working Group

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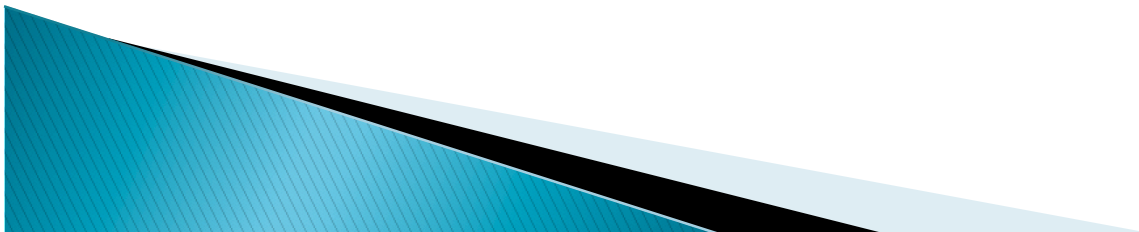
14<sup>th</sup> International Symposium on ETDs

Cape Town, South Africa

Sept. 14, 2011

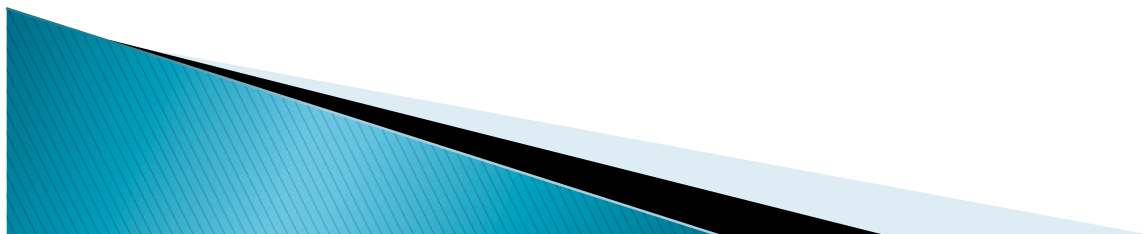
# Why do another survey?

- Publishers previously surveyed a decade ago.
- Questions continue to arise.
  - ETD-L
  - Chronicle of Higher Education
- Perceptions, not data, is reported.
  - LSU ETD by Ursula Goldsmith
  - VT ETD author surveys
- Authors are restricting access to the ETDs.
- Faculty are advising students to restrict access.



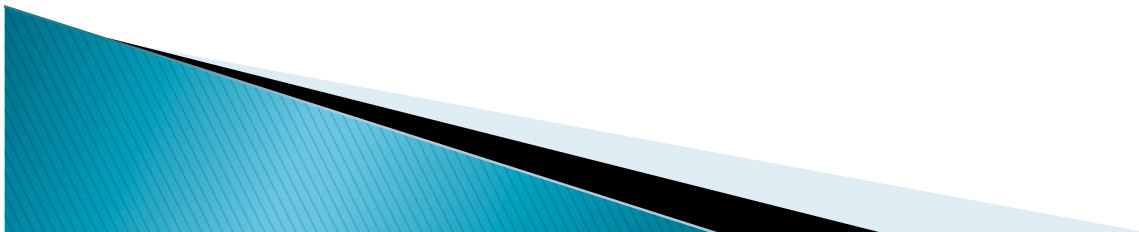
# Who was surveyed?

- ▶ Thompson Reuter's Journal Performance Indicators (JPI), 2005-2009
  - Relative Impact Factor (RPI)
  - ~600 journal editors
    - 55 Social Science categories
    - 27 Arts & Humanities categories
- ▶ ~130 press directors
  - American Association of University Presses



# When and how were they surveyed?

- ▶ May 16, 2010 - June 16, 2010
- ▶ 746 emails with link to survey
- ▶ SurveyMonkey
  - Free Web survey tool
  - Emailed 616 journal editors (Thanks, Jane Wills.)
  - AAUP emailed 130 university press directors with link to SurveyMonkey (Thanks Brenna McLaughlin.)

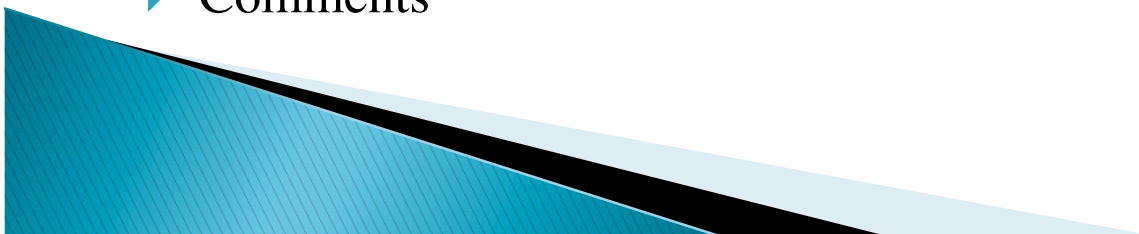


# Survey Questions

- ▶ 9 demographic questions.
- ▶ **Which of the following best reflects the editorial policy or practice governing your enterprise?**

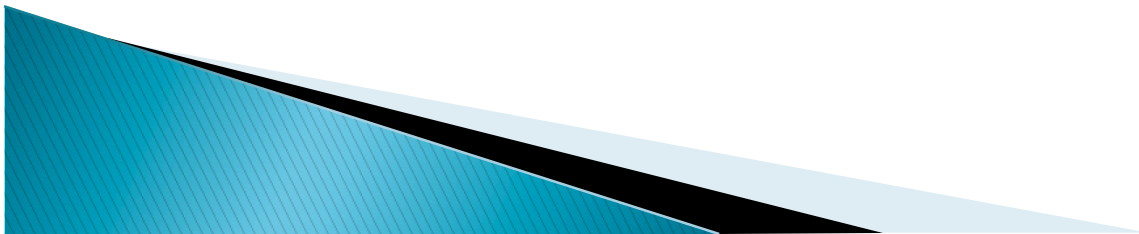
**Manuscripts which are revisions of openly accessible ETDs are...**

- **Always welcome for submission.**
  - **Considered on a case-by-case basis.**
  - **Considered ONLY IF the contents and conclusions in the manuscript are substantially different from the ETD.**
  - **Considered ONLY IF the ETD has access limited to the campus or institution where it was completed.**
  - **Not considered under any circumstances.**
  - **Other**
- ▶ Comments

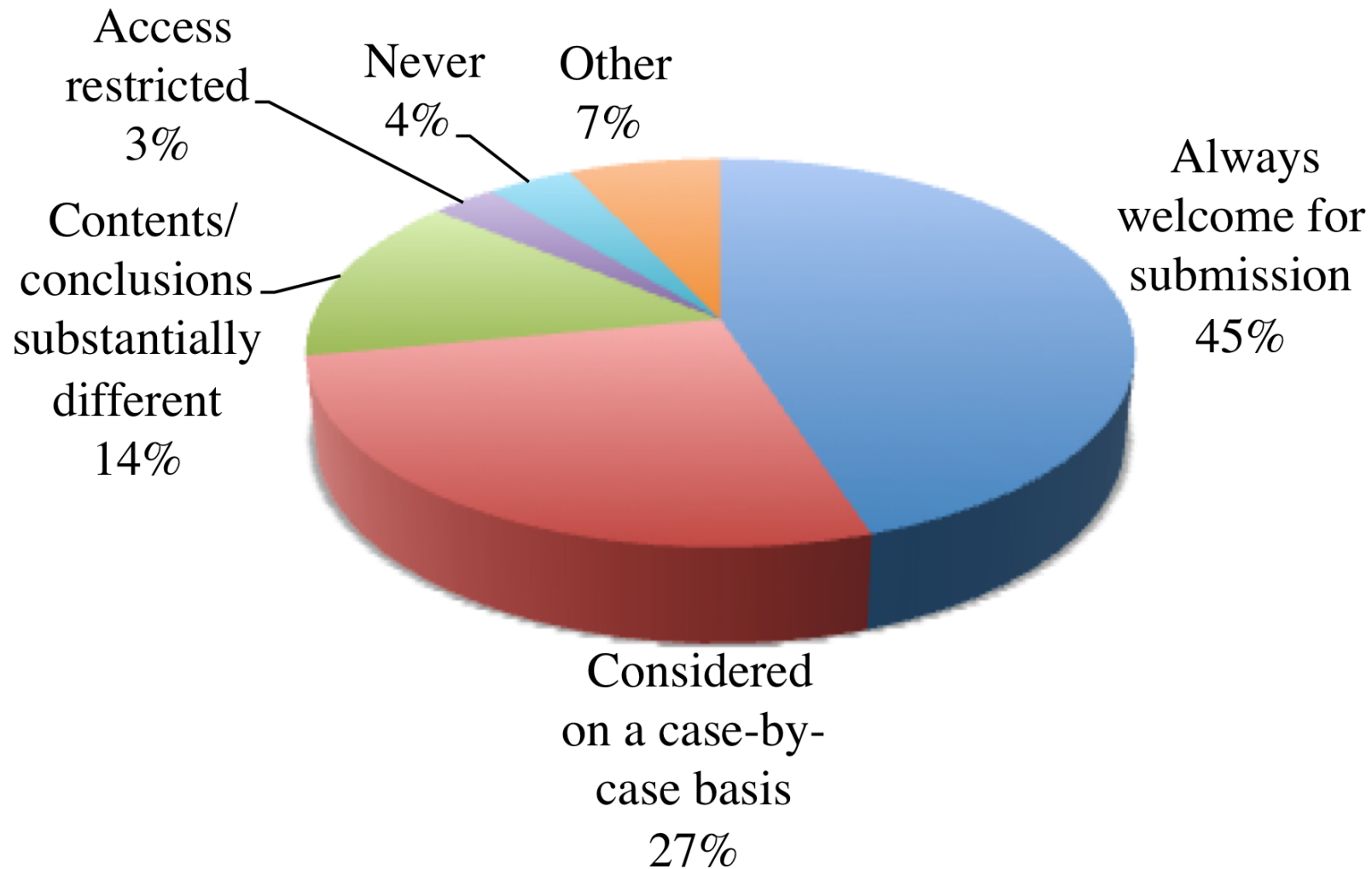


# Who responded to the survey?

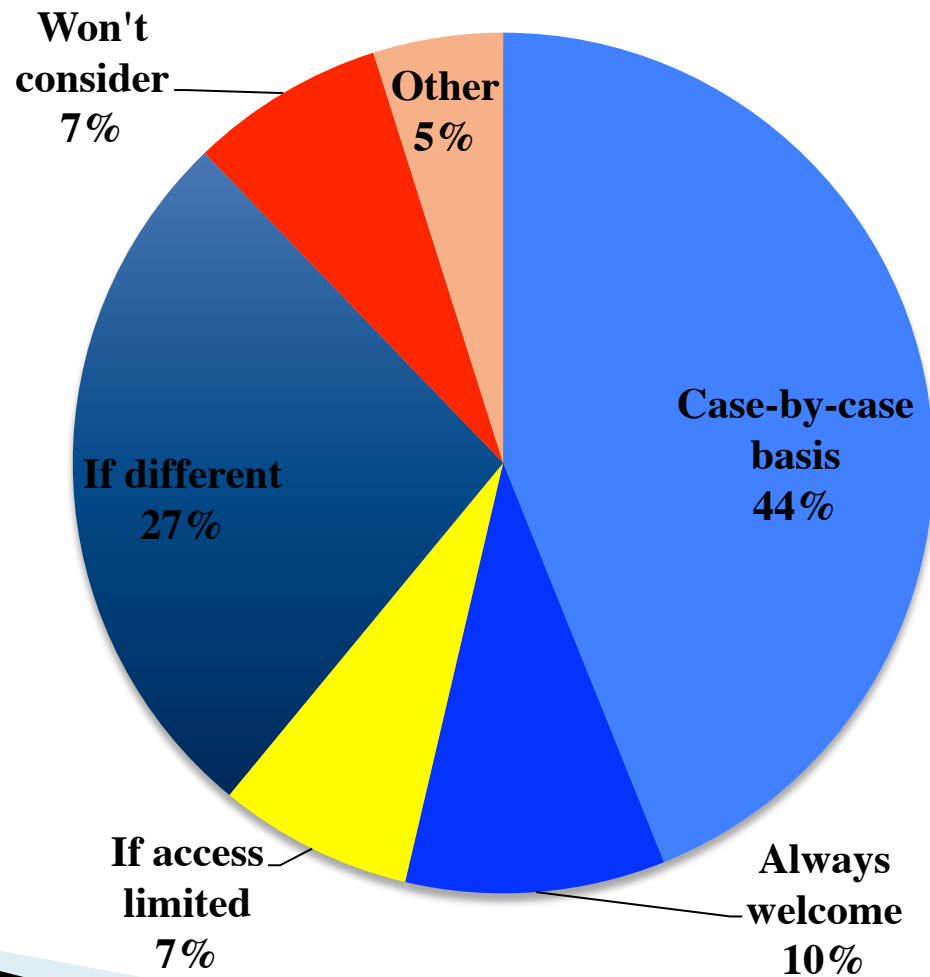
- ▶ 17% response rate
  - 75 journal editors
  - 53 university press directors
- ▶ 50% of the responses came from 20 subject disciplines



# Manuscripts which are revisions derived from openly accessible ETDs are...

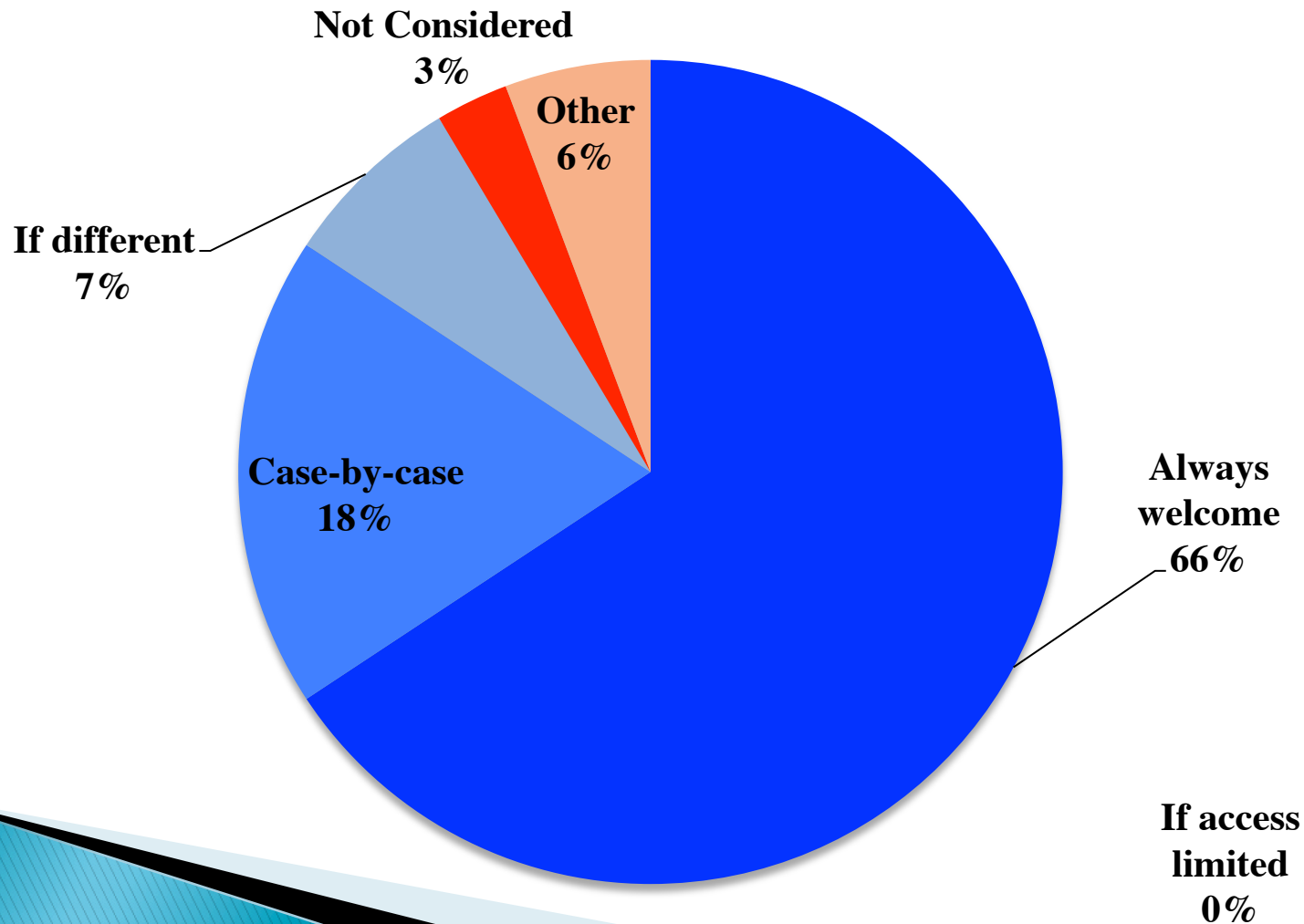


# University Press Policies/Practices: Manuscripts derived from openly accessible ETDs are...





# Journal Policies/Practices: Manuscripts derived from openly accessible ETDs are...

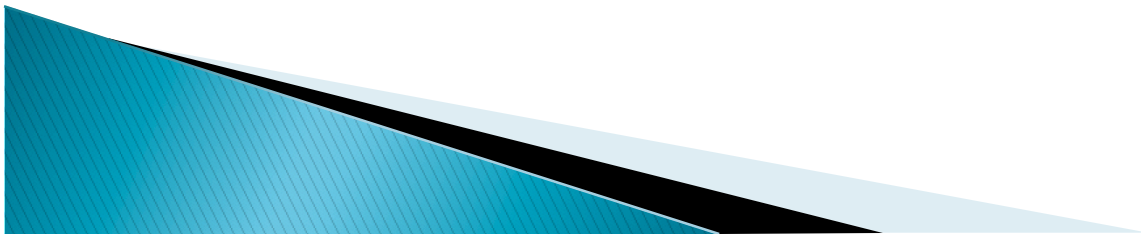


# Manuscripts which are revisions derived from openly accessible ETDs are...

| 2011 Survey          | All | Uni. Presses | Journals |
|----------------------|-----|--------------|----------|
| Always welcome       | 45% | 10%          | 66%      |
| Case-by-case         | 27% | 44%          | 18%      |
| If very different    | 14% | 27%          | 6%       |
| If access restricted | 3%  | 7%           | 0%       |
| Never                | 4%  | 7%           | 3%       |
| Other                | 7%  | 5%           | 6%       |

# 2011 Comments on the Prior Publication Question

- ▶ “Dissertations have *\*never\** counted as publications... A pdf of an unpublished work is still an unpublished work.”
- ▶ “The American Psychological Association, which publishes over 40 journals across psychology, has an official policy that theses/dissertations, even if archived at a university site, are not counted as prior publication.”

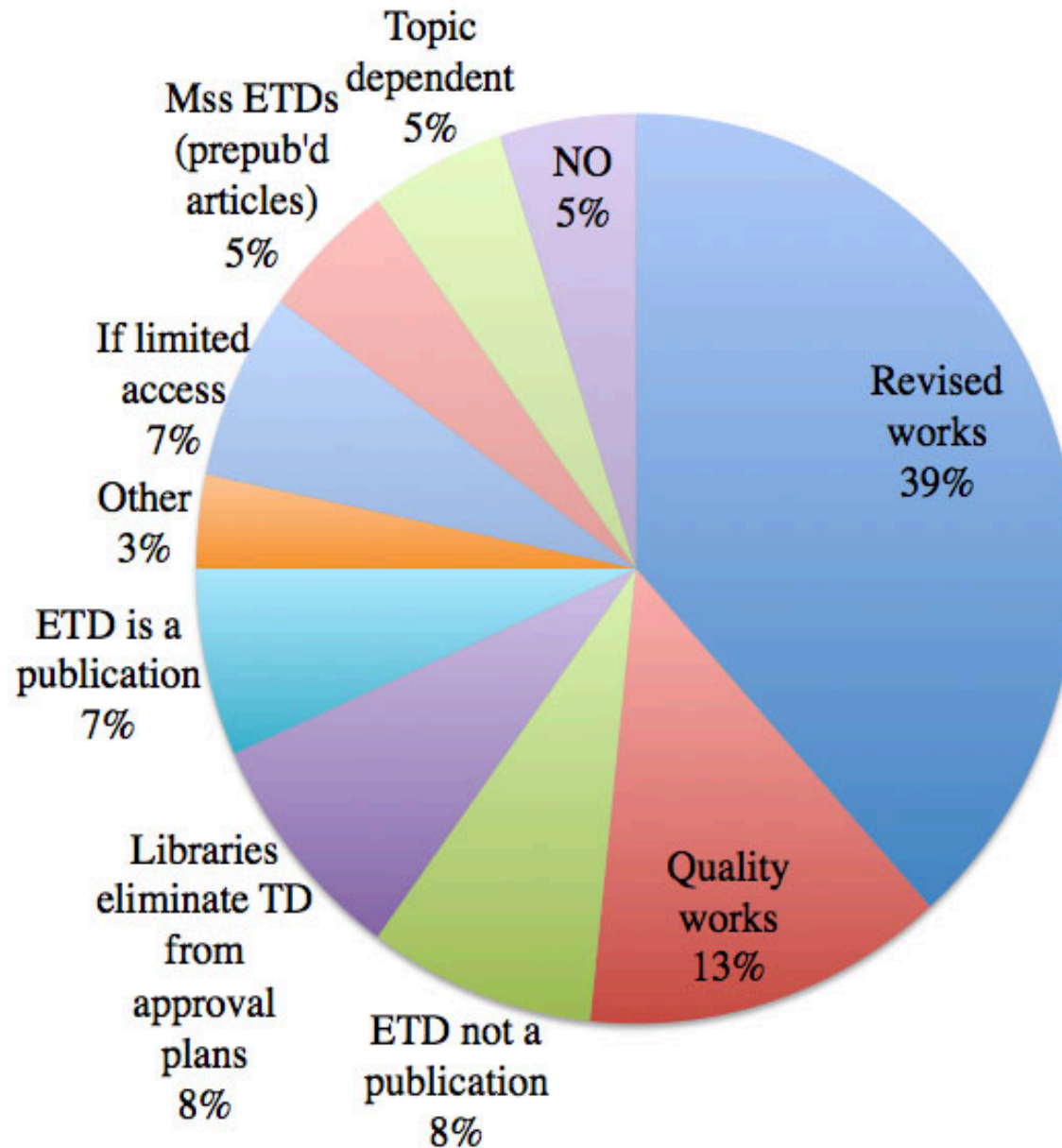


# 2011 Publishers' Comments re Quality

- A journal article is qualitatively different from a thesis, and must be structured with the needs of quite different readers in mind. All our submissions are subject to peer review, and frequently papers change in response to reviewer feedback. The fact that a paper grows out from an academic thesis is not a concern for this journal.
- We do not consider the dissertation to be the equivalent of a book. It is student work; a book is professional work.
- Prior availability through an IR is not usually the deciding factor. We are more interested in the quality of the work, how well it fits with our list, and whether it deserves wider dissemination and promotion.
- 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.



# Summary of 2011 Open-ended Comments

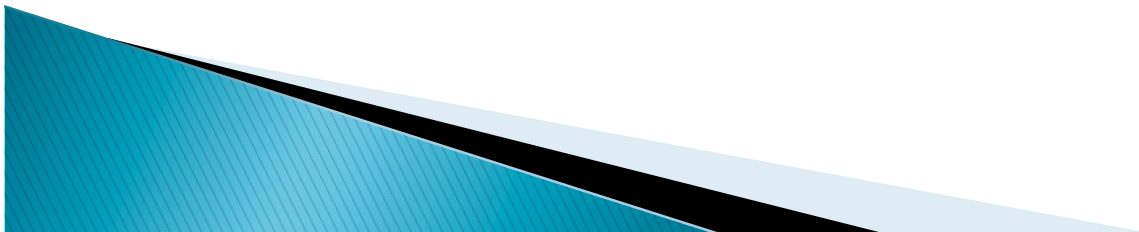


## How do 2011 findings compare to previous surveys?

|                          | 2000<br>Dalton | 2001<br>Seamans | 2011<br>NDLTD WG |
|--------------------------|----------------|-----------------|------------------|
| Always welcome           | 47%            | 33%             | 45%              |
| Case-by-case             | 19%            | 29%             | 27%              |
| If substantially revised | 6%             | 6%              | 13%              |
| If access limited        | 6%             | 0%              | 3%               |
| Under no circumstances   | 4%             | 2%              | 4%               |
| Other                    | 19%            | 27%             | 9%               |

## **New Concerns about ETDs for Journal Editors and Academic Press Directors**

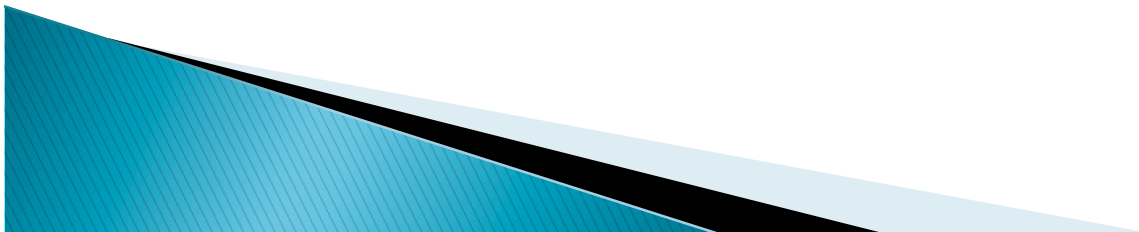
- ▶ ETDs make author anonymity difficult.  
“Easy to determine who the author is and thus undermines the strength and reliability of peer review. This could, ultimately, disadvantage young scholars.”
- ▶ “I never thought about it until just now”...
- ▶ “We ask authors to stop distribution of their ETD when we agree to publish their REVISED material.”
- ▶ ETDs include already published articles.



# Advice to Graduate Students based on the 2011 publishers' survey

Submit works based on your ETDs.

- ▶ 96% of publishers will consider them.
- ▶ Quality is the publishers' main concern.
- ▶ Adapt them for a new audience.
- ▶ Peer review is radically different.





“All essays go through extensive review and revision process, so even if the starting point is out there, the final product is not.”

“The editorial review and publication process entails substantial refinement and revision of works that originate as part of doctoral work and thus we do not consider raw dissertations as competing with the works eventually published under our imprint.”

“A chapter of a thesis or dissertation will virtually never be suitable as an article in my journal. Authors will often have to contextualize their discussion and explain the implications of their conclusions. And authors will often find that, after completing a dissertation, they are able to refine the argumentation a bit as well.”



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## Findings from the 2011 Publishers' Survey

Contact us with Questions and Comments

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