

Do Open Access Electronic Theses and Dissertations Diminish Publishing Opportunities in the Social Sciences and Humanities?

Marisa L. Ramirez
Digital Repository Librarian
California Polytechnic State University, San Luis Obispo
Mailing Address: Robert E. Kennedy Library, 1 Grand Avenue, San Luis Obispo, CA 93407
mramir14@calpoly.edu
Ph: 805.756.7040

Joan T. Dalton
Associate University Librarian
University of Windsor
Mailing Address: Leddy Library, University of Windsor, Windsor, ON, Canada, N9E-3P4
jdalton@uwindsor.ca
ph: 519.253.3000, x3212

Gail McMillan
Director, Digital Library and Archives
Virginia Tech
Mailing Address: Newman Library- Rm 2036, 560 Drillfield Drive, Blacksburg, VA 24061
gailmac@vt.edu
ph: 540.231.9252

Max Read
Associate Director of Student Academic Services, Faculty of Graduate Studies
University of British Columbia
Mailing Address: Office of the Dean, Faculty of Graduate Studies, 170-6371 Crescent Road, Vancouver, BC, Canada V6T 1Z2
max.read@ubc.ca
ph: 604.822.0283

Nancy H. Seamans
Dean of University Libraries
Georgia State University
Mailing Address: Georgia State University Library, 100 Decatur Street Southeast, Atlanta, GA 30303
nseamans@gsu.edu
ph: 404.413.2820

Accepted: March 31, 2012

Anticipated Publication Date: May 2013

Manuscript#: crl-356

Do Open Access Electronic Theses and Dissertations Diminish Publishing Opportunities in the Social Sciences and Humanities? Findings from a 2011 Survey of Academic Publishers

Abstract

An increasing number of higher education institutions worldwide are requiring submission of electronic theses and dissertations (ETDs) by graduate students and are subsequently providing open access to these works in online repositories. Faculty advisors and graduate students are concerned that such unfiltered access to their work could diminish future publishing opportunities. This study investigated social sciences, arts and humanities journal editors' and university press directors' attitudes toward ETDs. The findings indicate that manuscripts which are revisions of openly accessible ETDs are always welcome for submission or considered on a case by case basis by 82.8% of journal editors and 53.7% of university press directors polled.

Introduction and Background

An increasing number of higher education institutions worldwide are requiring electronic theses and dissertations (ETDs) and are making them publicly available in open access repositories. However, social sciences, arts and humanities faculty advisors and students are concerned that open access to their electronic theses or dissertations could diminish future publishing opportunities. This study investigated social sciences, arts and humanities journal editors' and university press directors' attitudes toward online theses and dissertations.

The implementation of ETDs was initiated in the early 1990s by Virginia Tech. Since then, ETD workflows have been implemented by over 1100 institutions worldwide.¹ Early studies demonstrated that graduate advisors supported the implementation of ETDs, and believed that the advantages of open access ETDs outweighed the disadvantages.² Nonetheless, a study conducted in 2008 by the Coalition for Networked Information (CNI), indicated that while the majority of U.S. universities and colleges have an ETD program in place, "some graduate students have been warned by their advisors or threatened by publishers that if they allow open access to their work, it will preclude future publication of the content in certain journals or as a monograph."³ In fact, institutions with ETD programs indicated that the most common concern expressed by

students and faculty was that openly accessible ETDs may result in future limitations to publication opportunities.

Student and faculty concerns result from a kernel of truth. For example, Texas A&M University Press Director, Charles Backus, described his enterprise as “much more reluctant to consider works based on dissertations than in the past...because most libraries and library vendors will not buy or recommend purchase of ensuing books that are based substantially on them [ETDs].”⁴ But do other publishers believe that open access to electronic work constitutes publication, even works that are student-generated theses or dissertations? Past studies exploring this question provide some insight. A 2001 study of 46 science and social science journal editors indicated that only a minority (25%) considered ETDs prior publication.⁵ The qualitative data collected in that study indicated that a thesis or dissertation must undergo revision to be in accordance with journal guidelines. A follow-up study used a similar survey instrument but broadened the scope to include academic and commercial presses in addition to academic journal editors. Less than fifteen percent (14.13%) of respondents of that study considered ETDs prior publications.⁶ A 2002 study of 36 humanities journal editors and university presses found that 23% of respondents considered ETDs as prior publications. However, in accordance with their editorial policy, 67% of humanities journal editors and university presses welcome dissertations for submission or consider these works for publication on an individual basis.⁷

University students and personnel have also been studied to determine if they have received reports from publishers rejecting student work that is available in ETD format. A 2000 study of Virginia Tech graduates indicated that of the 166 alumni respondents, 79% went on to publish derivatives of their ETD, and none encountered resistance from publishers to accepting their ETD-derived manuscript for publication.⁸ Based on a 2010 study of ETDs on university campuses, over 98.2% of alumni reported success in publishing ETD-derived manuscripts.⁹ ProQuest, an electronic and microfilm publisher of theses and dissertations seldom receives requests by students or university personnel to remove access to their ETDs because publishers considered these works “prior publication”. This constitutes a fraction (0.002) of the 70,000 theses and dissertations made electronically accessible via ProQuest in 2011.¹⁰

Despite past studies that indicate that ETDs are generally accepted by publishers, doubts still linger in the minds of students and faculty in the arts, humanities and social sciences. For example, creative writing students voiced their concern about open access to their work, pointing to anecdotes that illustrate the threat to the potential publishing and commercial value of their novel and other creative works. Several institutions such as University of Iowa, Louisiana State University, Bowling Green State University and West Virginia University now exempt creative writing students from the ETD requirements.¹¹

Approach and Motivation

What are the policies of social sciences, arts and humanities journals and university presses on this issue of ETDs constituting “prior publication”? The current study is of particular interest for several reasons. Much of the survey data in this area of concern are over a decade old. Additionally, past studies had a small response and sample size or the studies were focused in scope and thus not as relevant to scholars in the social sciences, arts and humanities. These scholars continue to doubt the viability of publishing opportunities after a dissertation or thesis becomes available electronically in an open access repository. Perceptions and fear, not data, inform many graduate advisors’ and graduate students’ decisions to restrict access to their ETDs.

Methods

To identify the top journals in the social sciences and humanities, data were extracted from the Thompson Reuter’s Journal Performance Indicators (JPI) for the most recent five-year period (2005-2009). JPI data is typically used in academe to gain an understanding of journal impact and performance within a discipline over a period of time. Drawing specifically on the data from the social sciences and arts and humanities indices, 55 disciplinary categories were present in the social sciences index and 27 in the arts and humanities index. A category that was duplicated in both indices (‘history’) was counted only once, resulting in 81 distinct JPI disciplinary categories (a total of 7,123 journal titles) that were identified for the study.

The top ten journals were identified in each of the 81 “in scope” disciplinary categories by utilizing the relative impact factor (RIF), which is a measure assigned to individual journals to indicate the importance of a journal within its field. Journals assigned a higher impact factor are considered more important to a specific field than a similar journal with a lower RIF. Some journals are associated with, and are highly influential in, more

than one discipline, thus appearing in more than one disciplinary “top ten” list. A total of 810 peer-reviewed journals were identified and 162 duplicate journal entries were removed, resulting in a final list of 648 top journals in the social sciences, arts and humanities.

Contact information for the Editor-in-Chief was manually collected for each journal. If an Editor-in-Chief was not identified by the journal, the Managing Editor information was used instead. Ten individuals edited multiple journals, so the duplicated names were removed. Twenty-three additional editors "opted out" of any survey via the SurveyMonkey polling tool. Therefore, a total of 615 journal editors were identified for the survey.

Scholarly monograph publishers were identified utilizing the Association of American University Presses (AAUP) membership list (<http://www.aaupnet.org>). The AAUP is a cooperative organization consisting of over 100 university presses in the humanities, the arts, and sciences. Because much of the research conducted in the arts and humanities is reported in monographs published by university presses, the study was extended to survey this group.

After receiving approval from the Institutional Review Board and Human Subjects Committee, the survey was pretested on a representative group of 19 journal editors and university press directors. Changes were made to the survey format and wording was edited to address concerns and eliminate points of confusion as indicated in the pre-test.

The study was conducted between May 17th and June 16th, 2011, and was distributed to 615 social sciences and arts and humanities journal editors and 131 university press directors via Survey Monkey, an online web-based survey tool. The email invitation included a brief description of the goals of the survey and a link to the online survey. A reminder message was sent two weeks after the survey was launched. The survey was comprised of 11 questions, designed to elicit information on the editorial policies and practices governing the journal or press. The survey format, question wording, length of the survey, and the use of an online survey tool were all considerations in the construction of the survey. The researchers aimed to reduce the burden on respondents in an effort to increase the response rate and eliminate bias. The survey had built-in skip logic that made sure that respondents saw only relevant questions.

Results

The resulting sample included 75 social sciences and arts and humanities journal respondents out of 615 eligible journal respondents, for a 12% response rate for social sciences and arts and humanities journals. The survey received 53 responses out of 131 AAUP members, for a 40% response rate from university presses. Overall, the survey received 128 responses out of 746 total eligible journals and university press respondents, for a 17% response rate.

While appropriate measures were taken to reduce any potential sources of bias, sources of bias may have been introduced by allowing individuals to skip questions, scroll backwards and forwards, change their answers and exit at any time. With an overall response rate of 17%, there is the possibility of bias due to non-response. That is, the individuals who did not respond to the survey may have answered differently than those who did respond to the survey. Several variables were analyzed using a two-proportion z-test with data from the respondents and non-respondents to determine if there was statistical evidence of bias. All p-values generated by these tests were greater than 0.05, with the exception of number of titles generated by university presses. Possible bias may have been introduced because university press respondents with a larger number of title offerings may have answered differently than those who did not respond to the survey. With the exception of the aforementioned, no other statistically significant differences between the two groups were identified.

All of our respondents reported holding leadership positions in their publishing enterprises. Twenty-seven percent of all respondents reported holding the title of Director or Associate Director, 61.3% held the title of Editor, Co-Editor or Editor-In-Chief, and 11.7% were Managing or Acquisition Editors. The majority (65%) of our university press respondents indicated that they held the position of Director. Eighty percent of our academic journal respondents indicated that they held the position of Editor (45.7%) or Editor-in-Chief (34.4%). Because all respondents reported holding leadership positions, throughout this paper academic journal respondents will be referred to collectively as “journal editors” and university press respondents will be referred to collectively as “university press directors”.

When asked to select one or more disciplines representative of their publishing enterprise, respondents indicated that they were affiliated with a vast array of social sciences, arts and humanities fields. Academic

journals and university presses each indicated affiliations with over 73 social sciences, arts and humanities fields. The top three disciplines represented by journal editors were interdisciplinary social sciences (20.0%), urban studies (8%) and history (8%). The top three disciplines represented by university press directors were history (80.5%), environmental studies (48.8%) and literary theory and criticism (48.8%).

The size of the enterprise was another area of investigation. Journal editors were asked to provide the most recent annual circulation figures, including total paid and free subscriptions. The mean annual circulation was 7,779; the median was 3,100; the mode was 3,000 and the circulation figures ranged from 250 to 62,000 (range: 61,750). Few journal editors were able to indicate the size of their enterprise based on most recent annual sales figures, because the journal was but one publishing vehicle sold as a “suite” with other journals, or because the publishing entity like Elsevier or the overall scholarly society would have sales numbers, but not the individual journal editors.

University press directors were largely unable to furnish annual circulation figures, but instead the recent annual sales figures provided more insight into the size of the enterprise. Based on the most recent annual sales figures of university presses, the mean was \$5,751,500; the median and mode were both \$3 million, and responses ranged from \$150,000 to \$35 million. Based on responses, the majority of the university press directors fell into Group 3 (\$3 to \$6 million in annual sales) as defined by The Association of American University Presses.

[INSERT TABLE 1]

When university press directors were asked to indicate the distribution of published materials by format based on the most recent annual sales, 65% of the respondents indicated publishing journals in addition to publishing books. Of the university press directors that indicated that they publish journals in addition to publishing books, journals comprised an average of 20.8% of university press annual sales, and monographs comprised an average of 79.2% of annual sales.

Prior Publication – Combined Responses

Respondents were asked to indicate their editorial policy or practice governing the evaluation of manuscripts derived from openly accessible ETDs. The majority of responses (72%) from university press directors and journal editors indicated that manuscripts which are revisions of openly accessible ETDs are always welcome for submission (45%) or considered on a case by case basis (27%). Only 4.5% of all respondents indicated that they would never consider an ETD for publication.

[INSERT CHART 1 HERE]

Journal responses

The majority of journal editors (82.8%) indicated that their enterprise will consider a manuscript derived from an openly accessible ETD for submission to their journal, with 65.7% indicating that manuscripts of this type are always welcome for submission and 17.1% of the respondents confirming they would be considered on a case by case basis. Only 2.9% of journal editors indicated that manuscripts derived from open access ETDs would not be considered under any circumstances. None of the journal editors (0.0%) indicated that an ETD would be considered because access to the item was limited to the campus where it was completed.

[INSERT CHART 2 HERE]

When looking at disciplinary differences, one journal editor in the subject area of “literature” indicated that ETDs would not be considered under any circumstances. This was the only journal editor respondent to indicate that ETDs would not be accepted under any circumstances, stating that “we publish *original* work. If it is a dissertation chapter, published electronically or otherwise, it needs to be revised for publication in our journal.” The majority of journal editor respondents in the following subject areas indicated that their publication would tend to consider ETDs on a case-by-case basis: classics (100% of journal respondents in the subject area), history of social sciences (66.6%), philosophy (100%), biomedical social sciences (66.6%), mathematical methods in social sciences (60%), and theater (100%). All other subject area journal editors indicated that ETDs would always be welcome for submission.

Journal editors who always welcome ETDs for submission reported their recent annual circulation figures, including total paid and free subscriptions. The mean annual circulation was 11,429; the median

circulation was 5,000; the mode was 5,000; and circulation figures ranged from 62,000 to 250 (range: 61,750). Journal editors that indicated that ETDs would never consider an ETD for publication reported a mean and median annual circulation of 3,550 and annual circulation figures ranged from 6,500 to 600 (range: 5900). The findings indicate that the journals with higher annual circulation figures are more tolerant of ETDs, and journals with more limited annual circulation figures are less likely to consider an ETD for publication.

University press responses

Close to ten percent (9.8%) of university press directors indicated that their enterprise will always welcome ETDs for submission, with the majority of respondents (43.9%) indicating that a manuscript derived from an open access ETD would be considered on a case-by-case basis. Only 7.3% of university press directors indicated that manuscripts derived from an open access ETD would not be considered for publication under any circumstances.

[INSERT CHART 3 HERE]

When viewed by subject areas, university press directors in most arts, humanities and social science disciplines favored considering ETDs on a case-by-case basis. The majority of university presses in the following subject areas indicated that their enterprise would not consider an ETD under any circumstances: romance literature (100% of university press respondents in the subject area), applied and social psychology (each 100%), mathematical methods in social sciences (100%).

University press directors that indicated that ETDs are always welcome for submission reported mean annual sales of \$5 million, with a median of \$3.5 million, with a range from \$150,000 to \$13 million in annual sales (range: \$12.85 million). University press directors that would consider ETDs on a case by case basis reported \$6.7 million in annual sales, with a median of \$2.9 million, a mode of \$3 million and ranged from \$499,000 to \$25 million. A sole university press director, reporting annual sales figures of \$1 million, indicated that their enterprise would not accept ETDs under any circumstances.

Discussion

The survey elicited responses from a broad audience representing a vast array of social sciences, arts and humanities disciplines. Respondents were primarily the top leadership from journals and university presses. These are individuals who have the power and the influence to shape the policy and direction of the publication or enterprise they lead. While journal editors reported annual circulation numbers ranging from 250 to 62,000, the average circulation size of the respondents was around 3,200. While university press directors reported annual sales figures ranging from \$150,000 to \$35 million, the average university press respondent reported that their enterprise earned a median of \$3 million annually. It is noteworthy that editors associated with a journal with a respectively smaller mean annual circulation size (3,550) and university press directors associated with a press classified in the smallest AAUP range, Group 1, based on annual sales (\leq \$1.5 million) were more likely to indicate that their enterprise would never consider an ETD for publication.

From the qualitative data we collected, it appeared to be a commonly held expectation that the dissertation or thesis would need to be revised prior to submission to the university press or journal in order to fit their publishing guidelines (e.g., length, audience, voice). One journal editor commented, “we have no objection to prior electronic publication of dissertations or theses. In most situations, the academic document would have to be significantly revised in order to meet our author guidelines for publication.” Following the publishing guidelines is very important because “a journal article is not going to take the same form as a thesis or dissertation; if it tries, it won't pass peer review.” In terms of length, “a thesis would be too long for our journal, so I take them on a case-by-case basis” and “a thesis in our field would likely offer up a chapter only. Even that would likely need significant revision to be converted to a publishable paper. This is not a comment about ETDs [but instead it] is a comment about thesis chapters.” Journal editors point out the added-value provided by journal peer-review and reformatting. They also differentiate between the rhetoric used by an author for a thesis or dissertation committee, versus the writing style used for a broader journal readership. As one journal editor points out, “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.”

University press directors offered similar observations about the differences between ETDs and monographs. Audience is a key consideration for university presses: “We normally consider theses or dissertations for publication only if the author is willing to revise them for a broader audience; this is our practice regardless of the availability of an ETD.”

Many of the comments received from respondents elaborated on their thoughts about whether an ETD is considered an unpublished work and on the quality of ETDs. The following response was echoed by journal editors and university press directors alike: “[theses] and dissertations have *never* counted as publications...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 from publication if it's been posted on a web server.” ETDs, on the whole, are not considered publications by the survey respondents. Quality, it appears, is the publisher’s main concern about theses and dissertations. Based on respondents’ comments, it is a commonly held opinion that publishing a work in a journal or monograph lends more authority to the work, and is the preferred version by readers and researchers because of the writing style used to appeal to a broader readership. In contrast, an ETD is written for a different audience, and is held to standards that are different than journal or book publishing. One journal editor states that “ETDs are not and should not be considered publications. The fact that they are circulated online does not mean they are peer-reviewed independently. Often theses are instead reviewed by internal committees in the institutions.” A university press director responded “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.” Another university press director elaborated on the importance of quality, saying “whether in hard or electronic copy, we expect that the dissertation be completely revised before we will consider a manuscript. We do not consider the dissertation to be the equivalent of a book. It is student work; a book is professional work.”

While a journal editor comments that “we treat theses and dissertations as unpublished material” this same respondent believes that “readers will consider our article to be the version of record, the version they should read and cite, because (a) it will have been vetted by our double-blind peer review process, (b) it will have been professionally edited, and (c) it will be the most up-to-date version of the material.” As further described by another journal editor, “people rarely cite theses, but instead, cite the journal articles in which the thesis research is reported. This occurred before theses were available electronically and will continue in the future. Journal articles are peer reviewed and theses are not, so people trust the version in the journal article more.” As a university press director shared, “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.”

The originality and substantiality of the work is of more interest to university press directors and journal editors. One university press director commented, “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.” A journal editor echoes previous sentiments, saying that “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.”

Some unforeseen, but nonetheless interesting, patterns in the qualitative data emerged. Ethical concerns, such as self-plagiarism, were expressed by respondents. As one journal editor put it, “duplication of the ideas behind the thesis or dissertation is a moderate concern”. Another of the concerns involved compromising the integrity of the peer-review process. As one journal editor puts it, “an ETD makes anonymity in review easy to determine who the author is and thus undermines the strength and reliability of peer review. This could, ultimately, disadvantage young scholars.” Because electronic documents can be indexed by powerful

search engines, the concern is that reviewers will unwittingly locate an open-access ETD by searching on phraseology used within the manuscript, thus revealing author information that is typically suppressed in the blind or double-blind peer review processes. Based on several comments by university press directors, there is concern about library collecting policies as inadvertently influencing university press' policies on ETDs. As one university press director describes it, the "bigger issue is that we're being told by library wholesalers that more and more university libraries are using a blanket removal of books based on dissertations from their university press approval plans. While there continues to be a wide range of opinion about whether ETDs count as prior publication among publishers, librarians seem to be more and more inclined to treat them as such--which will become a bigger and bigger problem for us, of course." Another university press director adds, "the 'profiles' set by vendors such as Yankee Book Peddler (YBP) on books and the selection criteria established by the majority of academic libraries include a 'dissertation factor' which will eliminate these books from their purchase list. If no one is going to buy the book, no one will publish it." A third university press director, issues a warning to academia, saying "we understand some book distributors like Yankee Book Peddler specifically search publications to see if they are connected to dissertations, and if they are, then many libraries refuse to buy them on grounds they can already get the material through dissertation databases. As long as that practice continues, we will have no choice but to take a hostile view to pre-publication of dissertations. University administrators can't have it both ways: they can't both expect presses to be solvent, and require us to publish dissertations (in whatever form) so that their PhDs can get tenure."

Conclusion and Recommendations

This study was conducted a decade after the first study on the perception of manuscripts derived from ETDs¹². In that study, 75% of the respondents representing the social sciences indicated they would either accept or consider, without prejudice, submissions derived from openly available ETDs. The responses to this survey indicate that ETDs are not considered prior publications by journal editors or university press directors in the social sciences, arts or humanities. Both graduate students and advisors in the social sciences, arts or humanities should be advised of these findings, particularly given that prior publication has been one area of fear and misperceptions. The majority of all responses (72%) from university press directors and journal editors

indicated that manuscripts which are revisions of openly accessible ETDs are always welcome for submission (45%) or considered on a case by case basis (27%). Only 4.5% of all respondents indicated that they would never consider an ETD for publication. The majority of journal editors (82.8%) indicated that their enterprise will consider an openly accessible ETD for submission to their journal. Over half of university press directors (53.7%) indicated that their enterprise will consider an openly accessible ETD for later publishing.

Nonetheless, our study does seem to indicate that the “smaller” university presses and journals may view ETDs as a threat to their bottom line, and thus may not publish works derived from ETDs. Additionally, university presses and journals in the literature field may be less inclined to consider a work derived from an ETD. It was unexpected to receive several comments by university press directors that imply causation between library collecting policies and university presses’ ETD policies. It is unclear if these comments represent a minority view or are shared by a larger group. This is an area for future study.

Quality is the main concern about ETDs. Publishers recognize that a book or journal article must be adapted to a new audience and conform to peer-review, so the final work will be different in many ways from the original ETD. Because the majority of journals and university presses will consider a social science, arts, or humanities manuscript that has been derived from an open access ETD, scholars in these disciplines are urged to make ETDs openly accessible.

With encouragement from the Board of Directors of the Networked Digital Library of Theses and Dissertations, the authors are pursuing a survey of science journal editors in Spring 2012 in order to expand the data available on publishers’ attitudes about ETDs.

Acknowledgements

The authors would like to thank Dr. Edward A. Fox and the Board of Directors of the Networked Digital Library of Theses and Dissertations for their invaluable support of this research.

Appendix – Survey Questions

You have been invited to complete the survey based on your role in academic publishing, either as an editor or publisher. The term "enterprise" is used in this survey to refer to a journal, a university press or a commercial publishing company.

1. I am voluntarily participating in this survey. (required question)

- Yes

2. What is the nature of your enterprise?

- University Press
- Commercial Publishing Company
- Journal
- Other (please specify):

3. My affiliation with the enterprise is:

- Acquisitions Editor
- Assistant Editor
- Director
- Editor
- Co-Editor
- Editor-in-Chief
- Editorial Assistant
- Managing Editor
- Other (please specify):

4. Please select one or more of the broad subject areas below that are most representative of your enterprise:

Anthropology	Ethnic Studies	Literary Reviews
Archaeology	Family Studies	Literary Theory & Criticism
Architecture	Film, Radio, Television	Literature
Area Studies	Folklore	Literature, African, Australian, Canadian
Art	Geography	Literature, American
Asian Studies	Gerontology	Literature, British Isles
Business	Health Policy & Services	Literature, German, Dutch, Scandinavian
Business, Finance	History	Literature, Romance
Classics	History & Philosophy Of Science	Literature, Slavic
Communication	History of Social Sciences	Management
Criminology & Penology	Hospitality, Leisure, Sport & Tourism	Medieval & Renaissance Studies
Dance	Humanities, Multidisciplinary	Music
Demography	Industrial Relations & Labor	Nursing
Economics	Information Science & Library Science	Philosophy
Education & Educational Research	International Relations	Planning & Development
Education, Special	Language & Linguistics	Poetry
Environmental Studies	Law	Political Science
Ergonomics	Linguistics	Psychiatry
Ethics		

Psychology
Psychology, Applied
Psychology, Biological
Psychology, Clinical
Psychology, Developmental
Psychology, Educational
Psychology, Experimental
Psychology, Mathematical
Psychology, Multidisciplinary
Psychology, Psychoanalysis

Psychology, Social
Public Administration
Public, Environmental &
Occupational Health
Rehabilitation
Religion
Social Issues
Social Sciences, Biomedical
Social Sciences, Interdisciplinary

Social Sciences, Mathematical
Methods
Social Work
Sociology
Substance Abuse
Theater
Transportation
Urban Studies
Women's Studies
Other (please specify):

COLLEGE & RESEARCH LIBRARIES PRE-PRINT

5. Which of the following statements best reflects the editorial policy or practice governing your enterprise?

"Manuscripts which are revisions derived from openly accessible electronic theses or dissertations (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 (please elaborate):

6. Please share additional comments or observations on the previous question.

The following questions gather information about the size of your enterprise.

- 7. Please provide your most recent annual circulation figures (e.g. total paid and/or free subscriptions).**
- 8. Please indicate the size of your enterprise based on your most recent annual sales figures.**
- 9. If questions 6 and 7 are not applicable, how would you describe the size of your enterprise?**
- 10. If your enterprise is a University Press, please indicate the distribution of published materials for your enterprise based on format using a percentage of your most recent annual sales (e.g. Books 80%, Journals 20%).**
- Books:
 - Journals:

11. Optional: Please enter your name and email

Your personal identification will not be shared in any way, and would only be used by members of this research committee in the event clarification is needed or additional questions arise with respect to your survey responses.

Table 1

University Press Size*	
Group 1: <i>Up to \$1.5 million</i>	31% (10)
Group 2: <i>\$1.5 to <\$3 million</i>	16% (5)
Group 3: <i>\$3 to \$6 million</i>	34% (11)
Group 4: <i>\$6 million +</i>	19% (6)
<small>*Press Size based on AAUP Sales Group Classification</small>	

Chart 1

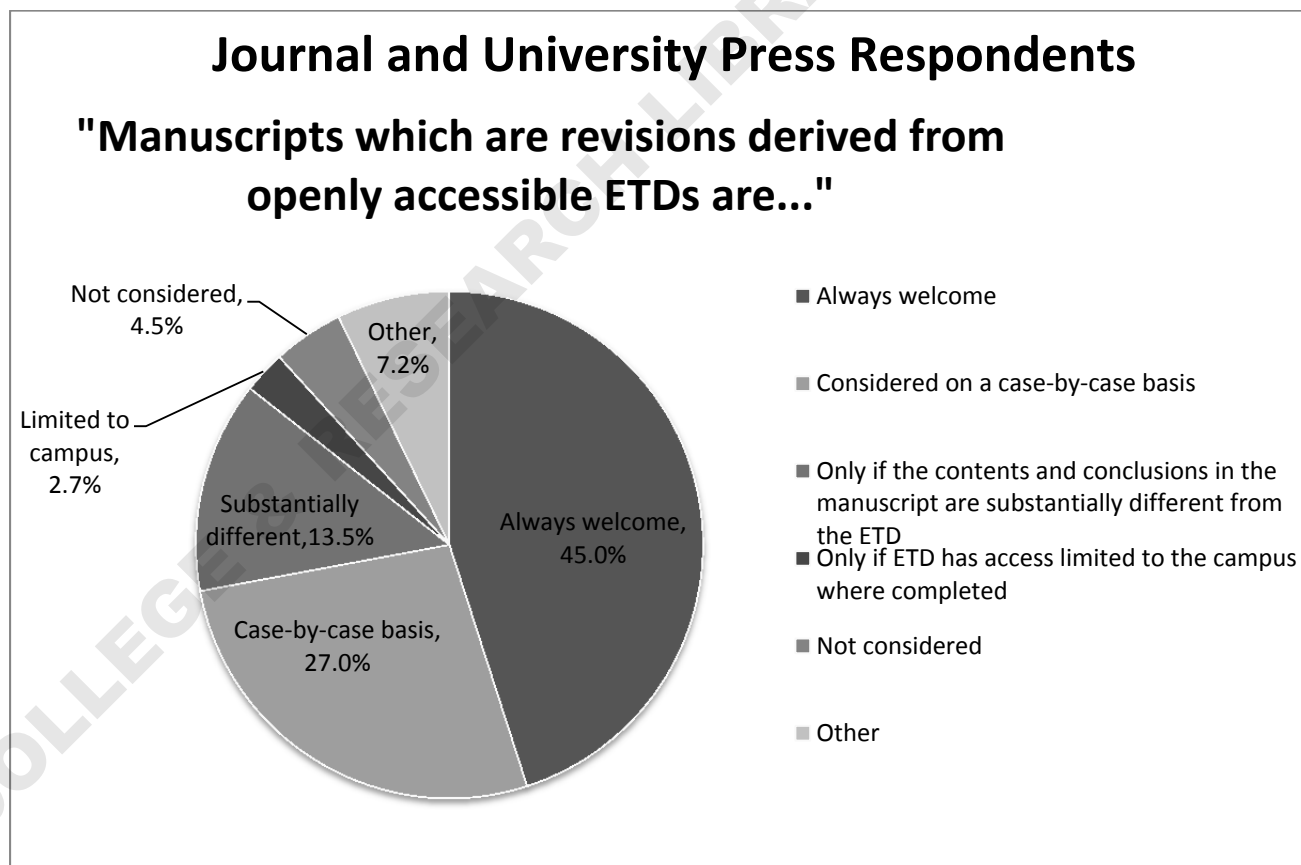


Chart 2

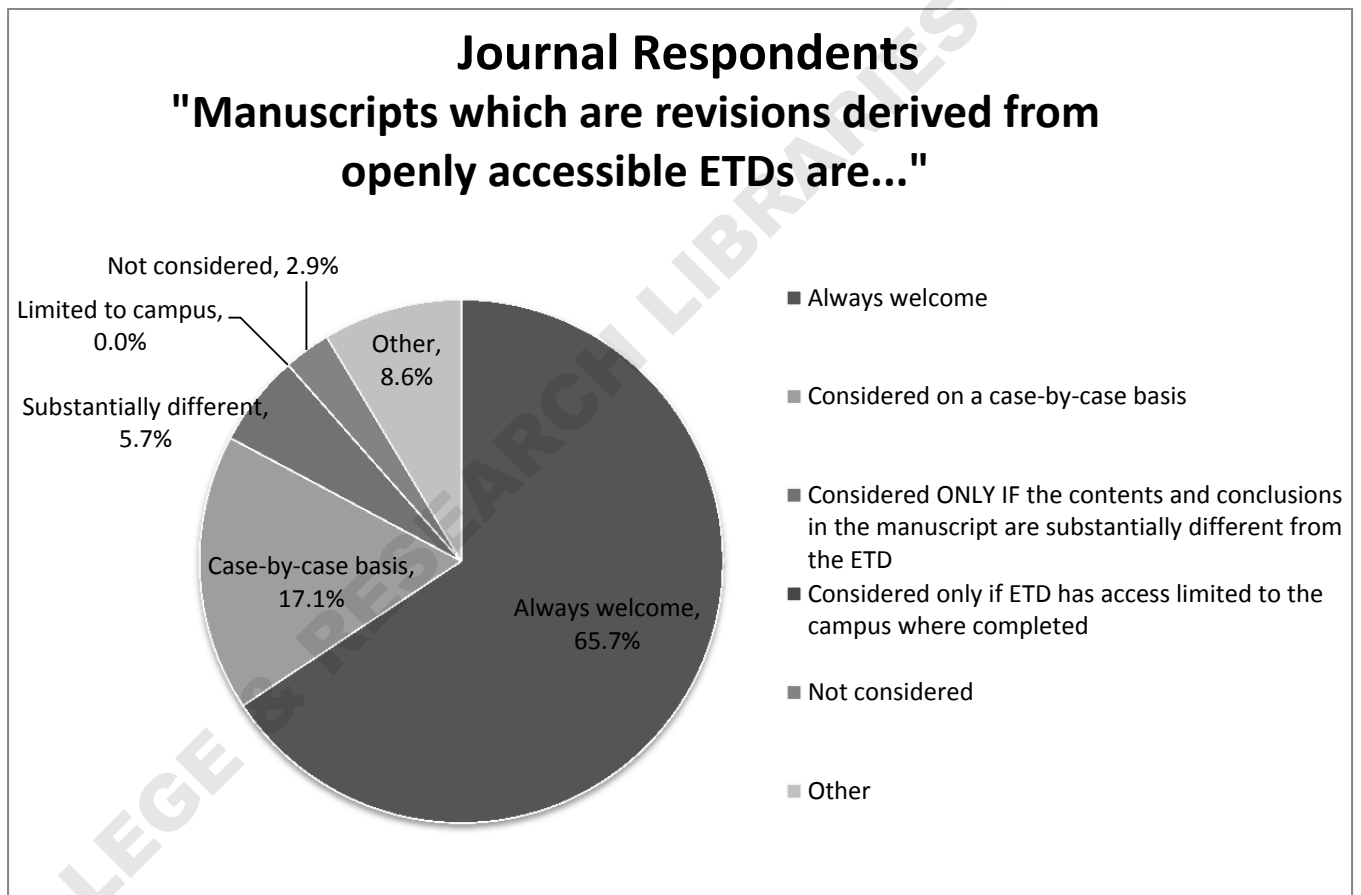
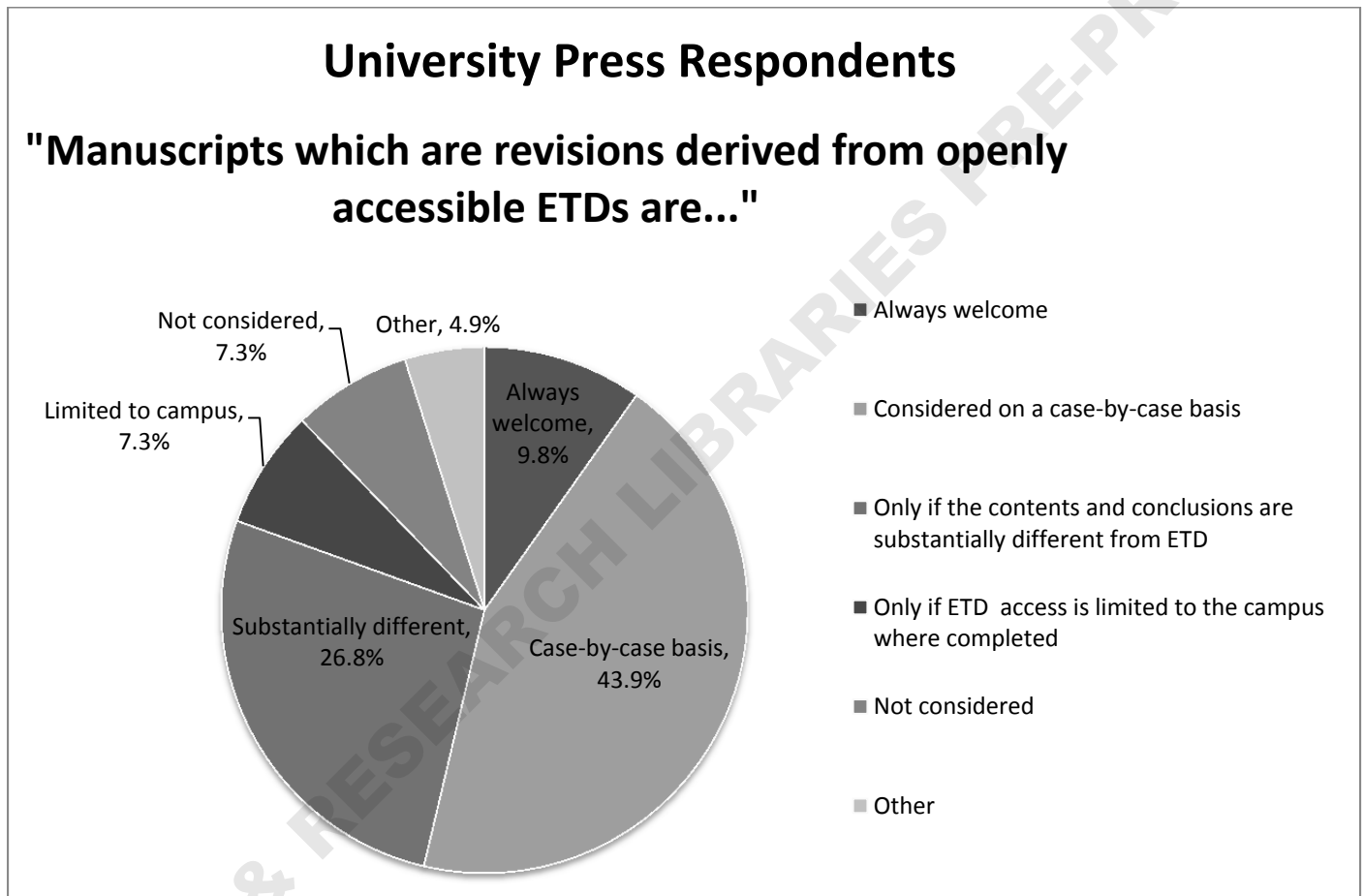


Chart 3



Works Cited

Dalton, Joan T. *Electronic Theses & Dissertations: A Survey of Editors & Publishers*. Unpublished paper, <http://docs.ndltd.org:8081/dspace/handle/2340/169>, NDLTLD archive, 2001.

Eaton, John, Ed Fox, and Gail McMillan. "Results of a Survey of Virginia Tech Graduates Whose Digital Theses and Dissertations are Accessible Worldwide." *Council of Graduate Schools Communicator*, 2000 November: 6-7.

Goldsmith, Ursula I.A. "Perceptions of Active Graduate Faculty at a Research Intensive University Regarding Electronic Submission of Theses and Dissertations (ETDs)." Louisiana State University, 2002 August.

Holt, Bobby. *Facilitator or Deterrent? Electronic Theses & Dissertations and Publishing: A Survey of Humanities Editors and Publishers*. Digital Library and Archives, Virginia Tech, 2002.

Howard, Jennifer. "The Road From Dissertation to Book Has a New Pothole: the Internet." *The Chronicle of Higher Education*. 2011 3-April. <http://chronicle.com/article/The-Road-From-Dissertation-to/126977/> (accessed 2011 17-November).

Lippincott, Joan K., and Clifford A. Lynch. "ETDs and Graduate Education: Programs and Prospects." *Research Library Issues: A Bi-monthly Report from ARL, CNI, and SPARC*, 2010 June: 6-15.

McCutcheon, Angela M. *Impact of Publishers' Policy on Electronic Thesis and Dissertation (ETD) Distribution Options within the United States*. Dissertation, College of Education, Miami: Ohio University, 2010.

McLean, Austin. "Post-publication restriction due to book publishing." 2011 13-October.

Seamans, Nancy H. "Electronic theses and dissertations as prior publications: what the editors say." *Library Hi Tech* 21, no. 1 (2003): 56-61.

University of Nottingham, U.K. *OpenDOAR*. 2011. <http://www.opendoar.org/> (accessed 2011 18-November).

ENDNOTES

¹ "OpenDOAR," University of Nottingham, U.K., accessed November 18, 2011, <http://www.opendoar.org/>.

² Ursula I.A. Goldsmith, "Perceptions of Active Graduate Faculty at a Research Intensive University Regarding Electronic Submission of Theses and Dissertations (ETDs)." (PhD diss, Louisiana State University, 2002), 121, <http://etd.lsu.edu/docs/available/etd-0709102-111850/>.

³ Joan K. Lippincott, and Clifford A. Lynch, "ETDs and Graduate Education: Programs and Prospects," *Research Library Issues: A Bi-monthly Report from ARL, CNI, and SPARC*, June 2010: 10, <http://www.arl.org/bm~doc/rli-270-etds.pdf>.

⁴ Jennifer Howard, "The Road From Dissertation to Book Has a New Pothole: the Internet." *The Chronicle of Higher Education*, April 3, 2011, <http://chronicle.com/article/The-Road-From-Dissertation-to/126977>.

⁵ Joan T. Dalton, "Electronic Theses & Dissertations: A Survey of Editors & Publishers" (unpublished paper, <http://docs.ndltd.org:8081/dspace/handle/2340/169>, 2001), 12.

⁶ Nancy H. Seamans, "Electronic theses and dissertations as prior publications: what the editors say," *Library Hi Tech* 21, no. 1 (2003): 58, doi: [10.1108/07378830310467409](https://doi.org/10.1108/07378830310467409).

⁷ Bobby Holt, "Facilitator or Deterrent? Electronic Theses & Dissertations and Publishing: A Survey of Humanities Editors and Publishers." Virginia Tech Digital Library and Archives unpublished report, 2002).

⁸ John Eaton, Ed Fox and Gail McMillan, "Results of a Survey of Virginia Tech Graduates Whose Digital Theses and Dissertations are Accessible Worldwide." *Council of Graduate Schools Communicator*, November 2000, 6, <http://scholar.lib.vt.edu/theses/EatonCGS2000ETDauthors.pdf>.

⁹ Angela M. McCutcheon, "Impact of Publishers' Policy on Electronic Thesis and Dissertation (ETD) Distribution Options within the United States." (PhD diss, Ohio University, 2010), 139, http://etd.ohiolink.edu/view.cgi?acc_num=ohiou1273584209.

¹⁰ Austin McLean, ProQuest representative, email message to authors, October 13, 2011.

¹¹ McCutcheon, "Impact of Publishers' Policy on Electronic Thesis and Dissertation (ETD) Distribution Options within the United States," 65-68.

¹² Joan T. Dalton, "Electronic Theses & Dissertations: A Survey of Editors & Publishers", 16.

COLLEGE & RESEARCH LIBRARIES PRE-PRINT