

## Communicating Research to the Public through ETDs

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## Open Access Scholarly Communication

VT is a public land-grant university serving the Commonwealth of Virginia, the nation, and the world community. **The discovery and dissemination of new knowledge are central to its mission.** Through its focus on teaching and learning, research and discovery, and outreach and engagement, the university creates, conveys, and applies knowledge to expand personal growth and opportunity, advance social and community development, foster economic competitiveness, and improve the quality of life.



## Intellectual Property

Copyright Law: U.S. Code, Title 17, Sect. 102

"original works of authorship *fixed in any tangible medium of expression*"

- Copyright is automatic (© not required)
- Registration is not required
- Payment is not required

[VT Policy 13000](#): Intellectual Property

- "Traditional results of academic scholarship" ... "the presumption of ownership is to the author(s)"
- "University rights are limited to free (no cost) use in teaching, research, extension, etc. in perpetuity"

## Access to your VT ETD

- Worldwide
  - Available to the public immediately through VTechWorks
- University-only
  - Available only to current VT community for 1 year
- Secured (withheld, embargoed)
  - Held in a dark (i.e., inaccessible) archive for 1 year

Publicly accessible ETDs are NOT a red flag for publishers.

- Open Access and Dissertation Embargoes
  - Published yet Unpublished: The Dual Rise of Open Access and Dissertation Embargoes /11861
- Publishing a Revised Dissertation
  - Defusing the Fear: Publishing A Book Based on a Non-Embargoed Dissertation /11904
- To Embargo Your Dissertation, or Not?
  - To Embargo or Not to Embargo? Strategically Disseminating the Dissertation /11995

<http://dissertationreviews.org/archives/>

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 Andrew W. Mellon Postdoctoral Fellow, Stanford University

## What You Can Do Now

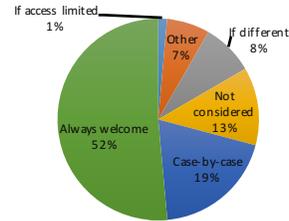
- Make your ETD publicly accessible.
- Read publisher's contracts and retain your copyright.
- Publish in open access journals.
  - VT Open Access Subvention Fund
  - \$1500.00 per article; \$3000.00 per author per year
  - <https://aqua.lib.vt.edu/oa-subvention.php>

Data paint an accurate picture of open ETDs

“Do Open Access ETDs Diminish Publishing Opportunities in the Sciences?” Marisa L. Ramirez, Gail McMillan, Joan T. Dalton, Ann Hanlon, Heather S. Smith, Chelsea Kern. *College & Research Libraries* 75/6 (Nov, 2014): 808-821. [doi: 10.5860/crl.75.6.808](https://doi.org/10.5860/crl.75.6.808)

“Do Open Access ETDs Diminish Publishing Opportunities in the Social Sciences and Humanities? Findings from a 2011 Survey of Academic Publishers.” Marisa L. Ramirez, Joan T. Dalton, Gail McMillan, Max Read, and Nancy H. Seamans. *College & Research Libraries*, 74/4 (July 2013): 368-380. [doi: 10.5860/crl-356](https://doi.org/10.5860/crl-356)

Science editors reported “Manuscripts which are revisions derived from openly accessible ETDs are...”

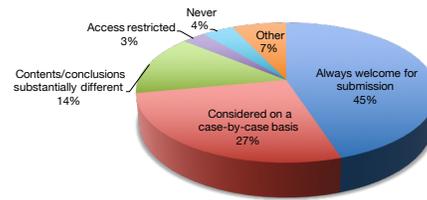


Comments: Science Editors' Surveys

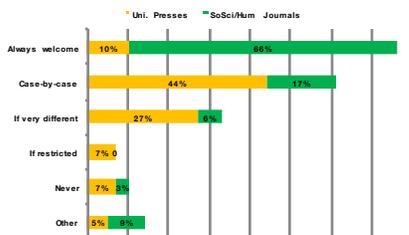
“Our journal has essentially ignored any potential conflict arising from publication of ETDs, because **the situation is really not different from the days of hard copy thesis** holdings by University libraries. They ... are simply more easily available now...”

“While we recognise theses as legitimate and citeable publications, they are considered gray literature because they do not go through blind external peer review and are not published in a recognized peer reviewed outlet. They are **not considered prepublication...**”

SoSci/Hum editors reported manuscripts which are revisions derived from openly accessible ETDs are...



SoSci/Arts/Hum Journal and Press Responses: “Manuscripts which are revisions derived from openly accessible ETDs are...”



Comments: Social Sciences/Humanities Survey

“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.”

“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.**”