

# INTERNATIONAL AND LOCAL SERVICES OF ELECTRONIC THESES AND DISSERTATION

---

Dr. Sanjay Kataria  
University Librarian  
Bennett University (Times of India  
Group)  
Email: [sanjay.kataria@bennett.edu.in](mailto:sanjay.kataria@bennett.edu.in)

# OUTLINES

---

- Introduction
- Emergence of ETD
- UNESCO and ETD
- Global Initiatives of ETD and Local Services
- Issues & Challenges related to ETD
- ETD@ Bennett University
- Conclusion

# INTRODUCTION

---

- Theses & Dissertation – Most significant INTELLECTUAL PRODUCT that an institution can offer
- Traditionally, T&D's are archived and saved in physical form inside the boundaries of a library of an institution where a scholar has worked.
- Liability in the maintenance process after a long period of time.
- No proper bibliographic control mainly for the T&D's procured by a Library.

# ELECTRONIC THESIS & DISSERTATIONS (ETD)

---

- **Concept of ETD – 1987**, by University Microfilms Inc. (UMI), now ProQuest Dissertations (PQTD) in Ann Arbor, Michigan.
- **Late 1990s** – emerged as a new genre and has **gained popularity** over past decade but yet not fully exploited as compared to other electronic mediums.
- With the evolution of digital libraries, ETDs have evolved as well and are considered as an important part of the Library's digital collection.

# ELECTRONIC THESIS & DISSERTATIONS

---

- A Definition by UNESCO ETD guide (2001-

*“a document that explains the research or scholarship of a researcher/student. It is expressed in a form simultaneously suitable for machine archives and worldwide retrieval. The ETD is similar to its paper predecessor. It has figures, tables, footnotes, and references. It has a title page with the authors' name, the official name of the university, the degree sought, and the names of the committee members. It documents the author's years of academic commitment. It describes why the work was done, how the research relates to previous work as recorded in the literature, the research methods used, the results, and the interpretation and discussion of the results, and a summary with conclusions.*

*The ETD is different, however, it provides a technologically advanced medium for expressing your ideas.”*

# ELECTRONIC THESIS & DISSERTATIONS

---

- ETDs are a joint effort of researchers, supervisors, faculty, academic staff, library staff and the technology team. It is collaborative efforts for successfully implementation of ETD program.
- With the development of Digital Library, ETD has evolved as well and are considered as an important part of the library's digital collection. Hence, ETDs will always emerge as a new genre of documents which will continue to re-define with the future evolution of technology as well as student knowledge. (UNESCO)

## UNESCO DEFINED PURPOSE FOR ETD

---

*“to help the next generation of researchers to become effective  
knowledge workers in the Information age.”*

# UNESCO DEFINED GOALS FOR ETD

---

- Enhancing graduate education
- Promoting and sharing of research
- Supporting university collaboration

# UNESCO DEFINED OBJECTIVES FOR ETD

---

- Helping students/researchers in preparing, archiving, and adding value to their works;
- Building services to aid researchers and scholars with their specific information-seeking needs and behaviors;
- Creating, supporting, and managing ETD repositories; and
- Nurturing a community of interest in electronic scholarly publishing, with the guidance of an International Committee.

- **Virginia tech** started ETD project in **1997** with the name **National Digital Library of Theses and Dissertation (NDLTD)**. It was started proper funding and many international committees and working group including players like OCLC, CNI, Adobe etc., Hence its name was changed to **Networked Digital Library of Theses & Dissertation (NDLTD)**.

Virginia Tech's  
NATIONAL DIGITAL LIBRARY OF THESES  
& DISSERTATION

NETWORKED DIGITAL LIBRARY OF  
THESES & DISSERTATION

# NETWORKED DIGITAL LIBRARY OF THESES & DISSERTATION

---

- The *primary purpose* of NDLTD is

*“the sustainable, worldwide, collaborative, educational initiative of universities which encourages researchers and students to prepare their documents electronically ultimately leading to the use of digital libraries.”*

# NETWORKED DIGITAL LIBRARY OF THESES & DISSERTATION (NDLTD)

---

- With nearly 200 universities worldwide are participating in the organization, the wealth of graduate research and more than 100 institutional members from different parts of the globe.

## WHY OPEN ACCESS ETDs?

---

- One-stop for resource discovery of theses from the institutions.
- Extends partnerships and resource sharing among academic institutions.
- Addresses the higher education community's concerns regarding the management of third-party rights and the detection of plagiarism.

## WHY OPEN ACCESS ETDs?

---

- Scales up an institution's technological infrastructure for the move from prototype to “live” status.
- Monitors and tests relevant technology trends to identify future technologies which an ETD project may be able to adopt in future
- Reduce and remove the costs of printing and binding (although the faculties may require a copy for review and departmental archives).

# NETWORKED DIGITAL LIBRARY OF THESES & DISSERTATION

---

- **NDLTD UNION ARCHIVE – ETD METADATA**

(<http://union.ndltd.org/portal/>): Showcases a total number of **5,426,115**

ETD records at present

- India collectively provides **9314** records (via Vidhaynidhi and IISc)
- NDLTD has spread its reach immensely over the globe
- Open access initiatives have been promoted through this platform

# NETWORKED DIGITAL LIBRARY OF THESES & DISSERTATION

---

- The most important initiative by NDLTD is **ETD Symposium**, organizing the annually *“to promote the ideas of ETDs as a global concern, aiming to forester the development of ETDs”*.
- The first symposium in 2000 at St. Petersburg, Florida.
- The second symposium was conducted in 2003 which was the first one outside the USA, held at University, Berlin, Germany named ‘**Next Steps- Electronic Theses and Dissertations Worldwide**’ ( <http://www.hu-berlin.de/etd2003/>).
- Over the years, it has managed to succeed in its mission to a greater extent.

## INTERNATIONAL INITIATIVES OF ETD

---

- **University Microfilms International (UMI)** now known as **ProQuest Dissertation and Theses Databases (PQTD)** having at present 2.3 million entries (1.9 million are in full-text format).
- **Network Digital Library of Theses and Dissertations (NDLTD)**, a non-profit organization which is by far the most important and significant initiative taken.
- **Confederation of Open Access Repositories (COAR)** aims to “enhance the visibility and application of research outputs through global networks of Open Access digital repositories”. Its focus is to bring together the repository community as well as networks for capacity building, aligning policies and practices.

## INTERNATIONAL INITIATIVES OF ETD

---

- **Canadian Association of Research Libraries (CARL) Institutional Repositories** Program has been in working since 2003, with the aim to promote the use of institutional repositories in Canada. In 2018, CARL started an Open Access Repository Working Group that brings together the whole community associated with the development and management of repositories in Canada.
- **Digital Access to Research Theses (DART)-Europe** is a Portal that provides global access to European Research Theses by the partnership with research libraries and library consortia. It is also the European Working Group of the NDLTD.

## INTERNATIONAL INITIATIVES OF ETD

---

- **Ethos: Electronic Theses Online Service (British Library, UK):** A platform to access theses submitted by most of the UK higher education institutions. Ethos serves as an index to **300,000+** theses for free and order full text quickly and easily.
- **Open Access Theses and Dissertations (oatd.org):** aims to be the best possible resource for finding open access graduate theses and dissertations published around the world. Metadata (information about the theses) comes from over 1100 colleges, universities and research institutions. Currently indexes **4,542,925** theses and dissertations.

## INTERNATIONAL INITIATIVES OF ETD

---

- **National Academic Research & Collaborations Information System (NARCIS)--The Netherlands:** a gateway to scholarly information in Netherlands. It covers over **11,64,220** research publications and over **69,659** doctoral theses of the Netherland universities.
- **NZresearch.org.nz:** Provides access to New Zealand's most comprehensive selection of research papers and related resources. This site includes peer-reviewed and other research including theses from universities, polytechnics, and research institutions.

## INTERNATIONAL INITIATIVES OF ETD

---

- **Cybertheses:** A portal developed jointly by the University of Chile, the Universities de Lyon, University of Geneva etc., for accessing full text ETDs from many countries, including Bolivia, Brazil, Canada, Chile, France, Hong Kong, Mexico, Peru, Spain, and the United States. Provides access to over **50,000** full texts ETD.
- **Dspace@MIT:** MIT's DSpace at present contains more than **40,000** theses completed at MIT dating back as far as the mid 1800's.

## INTERNATIONAL INITIATIVES OF ETD

---

- **Ohio Link ETD Center:** This database provides access to theses submitted to universities in Ohio State and others in the USA. It has a total of **93,607** ETDs at present.
- **Trove (National Library of Australia):** Trove is a search portal provides searching, browsing and access to digital documents, including ETDs produced in Australia. **106,665+** theses & dissertations submitted to Australian universities.

## INTERNATIONAL INITIATIVES OF ETD

---

- **Directory of Open Access Repositories (DOAR)**: initially developed and maintained by a partnership of the University of Nottingham, UK and Lund University, Sweden, home of the DOAJ as part of a portfolio of work in Open Access and repositories under the SHERPA umbrella.
- **Registry of Open Access Repositories (ROAR)**: a parallel project to OpenDOAR, runs at Southampton University in the UK and is made possible by funding from the JISC. ROAR is part of the EPrints.org network.
- At present, ROAR shows a total of **3975** open access repositories worldwide.

# INTERNATIONAL INITIATIVES – CURRENT SCENARIO

---

- At present, open DOAR shows a total of 3751 ~~open~~ open access repositories across the world, including:
  - **Europe – 1743**
  - **America – 1017**
  - **Asia – 722**
  - **Africa – 165**
  - **Oceania – 104**

# INDIAN INITIATIVES OF ETD

---

- Many premier institutions like IITs, IIMs, IISc and Universities took the initiative of IR.
- The various government and professional bodies also involved to help these institutions and universities for building Intellectual Repositories/ETD.
- The **INFORMATION & LIBRARY NETWORK (INFLIBNET)** set up by the University Grants Commission provides the specialized training and networking of libraries among its member institutions and universities for selecting, managing, preserving and disseminating scholarly materials via many of its initiatives explained further.
- Professional associations and societies like **Developing Library Network (DELNET)**, **Society for Advancement of Library & Information Science (SALIS)** and **Indian Library Association (ILA)** are also involved in modernization of libraries, training and setting up the IRs.

# INDIAN INITIATIVES OF ETD

---

- **Vidhaynidhi** project - the first initiatives that started in the early 2000s and provided networked access to the digital library of Indian theses as well as put the Indian research on a global platform. It originated at the University of Mysore, sponsored by India's National Information System for Science and Technology (NISSAT), now NISCAIR.
- **Indian National Theses Database under Online Union Catalog of Indian Universities (IndCat) @ INFLIBNET** (Information and Library Network) which, at the time of writing this research, contained bibliographical details (approx. **2,71,581**) unique theses from 315 universities in India.

## INDIAN INITIATIVES OF ETD

---

- **ShodhGanga** and **ShodhGangotri**, yet another initiative by INFLIBNET gives access to full text theses and research in progress synopsis of member universities/institutions of the country, respectively.
- At present, ShodhGanga has a collection of **1,96,267** full text theses and ShodhGangotri website shows **5046** uploaded synopses.
- **DELNET** Theses and Dissertation Database contains **1,30,753** records according to the March 2018 Database Statistics.

## INDIAN INITIATIVES OF ETD

---

- The “Theses of the Month” published by **Association of Indian Universities (AIU)** in its weekly publication - University News gives the bibliographical details of the theses submitted in Indian universities, which are also consolidated in “Bibliography of Doctoral Dissertations” annually. AIU also publishes a Research in Progress column which reports newly registered PhDs.
- **Council for Scientific and Industrial Research (CSIR) Explorations** is a digital repository of electronic dissertations, theses and research reports of the fellowships and projects supported by CSIR (CSIR, 2011).

# INDIAN INITIATIVES OF ETD

---

- **KrishiPrabha** by Indian Council of Agricultural Research (ICAR) is the repository for doctoral theses submitted at Agricultural Universities.
- **ETDs @ IITs and IISc.**

# INDIAN INITIATIVES : CURRENT SCENARIO

---

- OpenDOAR in its Statistics sections lists total 81 repositories in India.



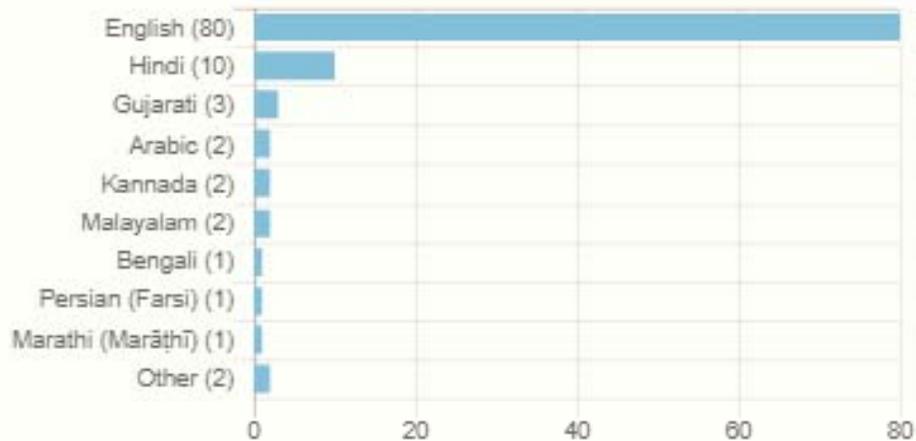
**Growth of Open Access Digital Repositories in India since 2005**

Source : [http://v2.sherpa.ac.uk/view/repository\\_by\\_country/in.default.html](http://v2.sherpa.ac.uk/view/repository_by_country/in.default.html)

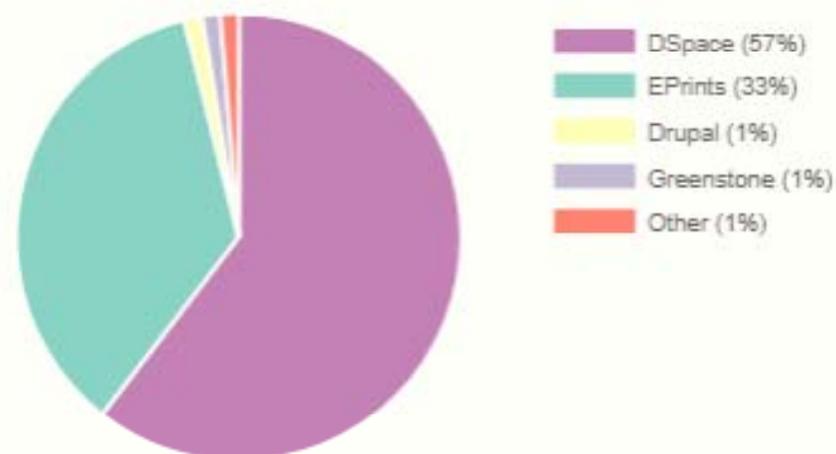
# INDIAN INITIATIVES : CURRENT SCENARIO

---

Language of Content

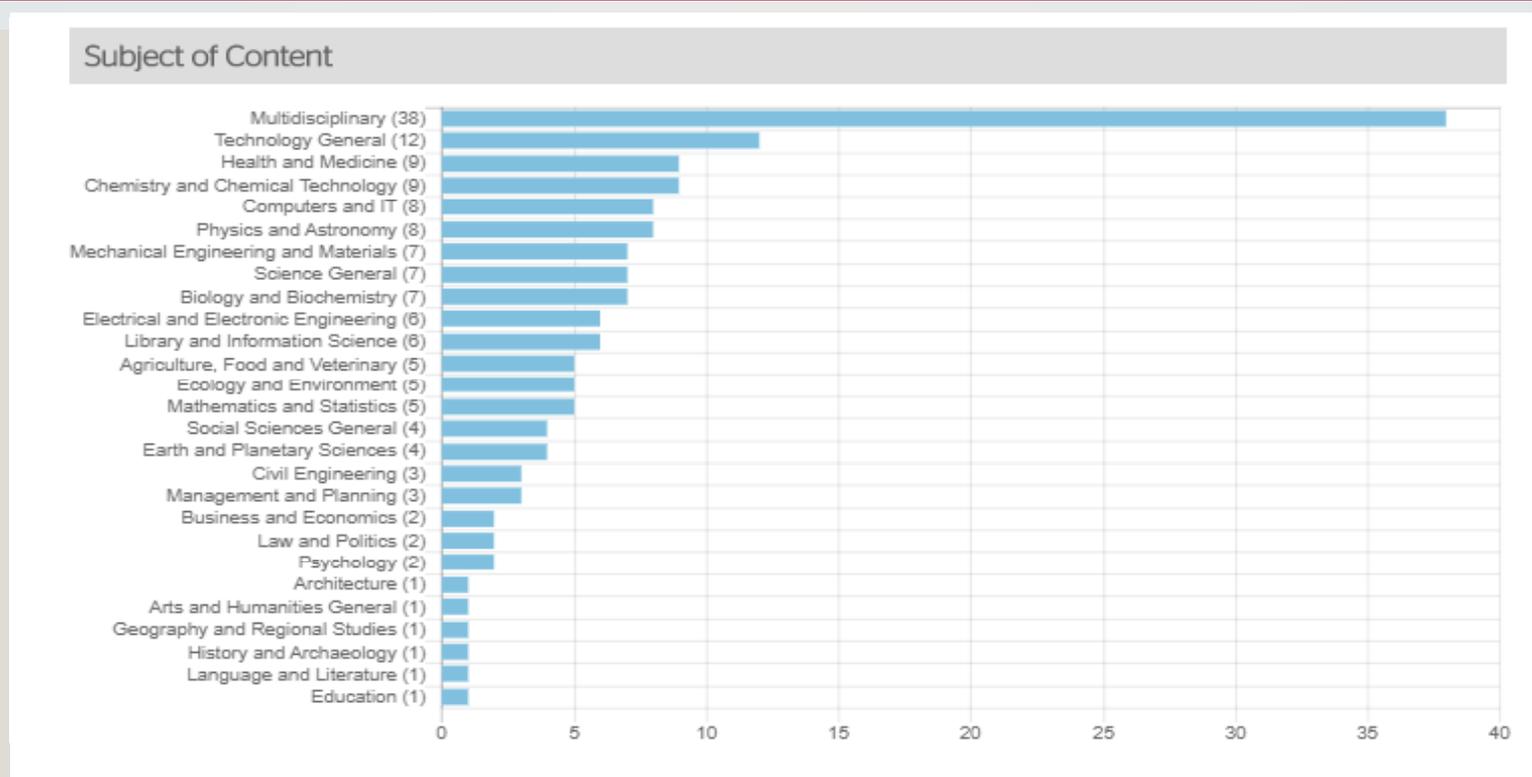


Software Platforms Overview



**An overview of Indian OpenDOAR collection.**

# INDIAN INITIATIVES : CURRENT SCENARIO



Source : [http://v2.sherpa.ac.uk/view/repository\\_by\\_country/in.default.html](http://v2.sherpa.ac.uk/view/repository_by_country/in.default.html)

## INDIAN INITIATIVES : SOME ISSUES

---

- As on April 12th 2018, UGC - total universities in India stand to 850, with more than 11,000 stand-alone institutions.
- Whereas only around **343 universities** are part of the **ShodhGanga**, e-theses repository by INFLIBNET and **81 listed in OpenDOAR**, which shows that there is a further scope in the implementation of ETDs in the country.
- Many universities, as well as institutions, lack the basic level of technological infrastructure and their research output is seized to the boundaries of the institutions only.

# INDIAN INITIATIVES : SOME MENTIONS

Name	Type	Software
AMU Repository (Knowledge Repository)	Institutional	EPrints
Archives of Indian Labour	Institutional	Other (HTML)
IIT Roorkee Repository (Bhagirathi)	Institutional	DSpace
DSpace at Indian Institute of Management Kozhikode	Institutional	DSpace
DSpace at Vidyanidhi	Institutional	DSpace
DSpace@INFLIBNET	Institutional	DSpace
Digital Knowledge Repository of Central Drug Research Institute	Institutional	DSpace
Dspace at IIT Bombay	Institutional	DSpace
Dspace@NITR	Institutional	DSpace
EPrints@IITD	Institutional	Eprints
eGyankosh	Institutional	DSpace
Indian Institute of Astrophysics Repository	Institutional	DSpace
Kautilya Digital Repository at IGIDR	Institutional	DSpace
Mahatma Gandhi University Theses Online	Institutional	Other (Nitya)
Knowledge Repository Open Network	Aggregating	Dspace
National Repository of Open Educational Educational Resources	Governmental	Other (Metastudio)
Research Archive of Indian Institute of Technology Hyderabad	Institutional	EPrints
Social Science Cyber Library	Disciplinary	Other (CALIBRE)
University of Mysore - Digital Repository of Research, Innovation and Scholarship (ePrints@UoM)	Institutional	EPrints

# ETD – ISSUES AND CHALLENGES

---

- Motivational Issues
- Implementation Issues
- Post implementation Issues
- Other Critical Issues

# MOTIVATIONAL ISSUES

---

- Lack of skills and awareness
- Lack of support (or interest) from faculty and academic staff (Authority)
- Lack of leadership – unwillingness of the parent institution to take interest in the initiatives as well as action plans.
- Lack of funding/sufficient infrastructure

# IMPLEMENTATION ISSUES

---

- Management issues (submission, storage, access and dissemination)
- Costs associated with software, hardware and other component
- Institutional ETDs in various formats
- Long-term preservation issues
- Lengthy manuscripts
- Content gathering issues

# POST-IMPLEMENTATION ISSUES

---

- No provision for making the ETD submission mandatory leading to limited participation
- Poor technical skills for incorporating multimedia elements into the ETD
- Unwillingness and delays by researchers
- Integration of the repository into the existing workflow and structure of the organization
- Poor technological support
- Maintenance costs associated
- Migration issues
- Lack of coordination among the institution and the national body for IR.

# OTHER CRITICAL ISSUES

---

- Plagiarism
- Copyright, Intellectual Property Rights
- Access fees, absence of policy and infrastructure, full access
- Access priorities,
- Full text search limitation
- Metadata and controlled vocabulary incompatibility
- Unmatched keywords generated by author and cataloger
- Relation of ETD with publisher,

# INTELLECTUAL REPOSITORY @ BENNETT UNI

---



- The vision of this university is

*“To become a Centre of Excellence comparable to the Ivy League standards; helping define aspirations and possibilities for the long term, and producing ‘life and career ready’ professionals with leadership quality, who are ready to challenge and be challenged (in the areas of technology, engineering, management, law, media, innovation and entrepreneurship).”*

- The faculty members, research scholars, staff and students of this university have already produced **more than 200** intellectual asset in form of research papers, project reports, books, conference papers, theses, dissertations, articles, etc.

# ETD @ BENNETT UNIVERSITY

---

- It is necessary to preserve, manage and make it accessible to its community and society for sharing and visualizing their innovations.
- The Learning Resource Centre known as LRC has taken the initiative to design & development of IR model for managing, preserving and disseminating the intellectual asset among its community.
- A model of IR has been developed namely “**DRS@BU**”.
- Initially, it is accessible on local areas network but very soon will be connected to internet.



## CONCLUSION & DISCUSSION

---

- Need to focus on the long-term preservation policies, workflows, cataloguing policies, and mainly the access and system hardware.
- Five main policies to tackle such issues are given by OpenDOAR as - Content Policies, Submission Policies, Preservation Policies, Data Policies and Recorded Metadata Policies.
- These policies are important for protecting the scholar's contribution towards the research community.

## CONCLUSION & DISCUSSION

---

- The hindrance to giving access to ETDs should be eliminated by providing frequent ETD awareness programs for all levels of research fraternity.
- A long-term preservation plan should be thought of at the national level.
- With increasing use of technology as well as a rapid rate of change in technology leads to the question of format preparation as well as preservation methods for the ETDs.
- Interoperability standards keeping in mind the unforeseen technological changes need to be framed.

# REFERENCES

---

- Bishop, P., Marshall, R., Winter, D. (2007). A robust electronic thesis and dissertation program at UCF. *EDUCAUSE Center for Applied Research Bulletin* 3.
- Carr, L., White, W., Miles, S. and Mortimer, B. (2008). Institutional Repository Checklist for Serving Institutional Management In *Third International Conference on Open Repositories 2008*, April 1-4, 2008, Southampton, United Kingdom.
- CARL-ABRC. <http://carl-abrc.ca/>
- Cayabyab, T. A. C. (2015). A Review of Emerging ETD Initiatives, Challenges and Future Developments. *International Journal of Information and Education Technology*, 5(10), 772–777. <https://doi.org/10.7763/IJiet.2015.V5.609>
- IndCat. <http://indcat.inflibnet.ac.in>
- Das, A. K., Sen, B. K., & Dutta, C. (2007). ETD Policies, Strategies and Initiatives in India: A Critical Appraisal. In *ETD 2007: 10th International Symposium on Electronic Theses and Dissertations* ". Retrieved from <http://epc.ub.uu.se/ETD2007/index.html%5Cnhttp://epc.ub.uu.se/ETD2007/files/papers/paper-54.pdf>
- Dhanavandan, S. and Tamizhchelvan, M. (2013). Development of shodhganga repository for electronic theses and dissertations in Tamilnadu: A study. *International Research: Journal of Library and Information Science*, 3(4).
- Eden, B., Mccutcheon, S., Kreyche, M., Beecher Maurer, M., & Nickerson, J. (2008). Morphing metadata: Maximizing access to electronic theses and dissertations. *Library Hi Tech*, 26(1), 41–57. <https://doi.org/10.1108/07378830810857799>
- Fineman, Y. (2003). Electronic theses and dissertations. *Portal: Libraries and the Academy* 3 (2), 219-227.
- Fox, E. A., McMillan, G., & Eaton, J. L. (1999). The evolving genre of electronic theses and dissertations. *System Sciences, 1999. HICSS-32. Proceedings of the 32nd Annual Hawaii International Conference On, Track2(c)*, 20. <https://doi.org/10.1109/HICSS.1999.772646>

# REFERENCES

---

- Fox, E. A., Gonçalves, M. A., McMillan, G., Eaton, J., Atkins, A., & Kipp, N. (2002). The networked digital library of theses and dissertations: Changes in the university community. *Journal of Computing in Higher Education*, 13(2), 102–124. <https://doi.org/10.1007/BF02940968>
- Gupta, D. K., & Gupta, N. (2014). Analytical study of the ETD repositories and government initiatives for depositing ETDs in India. *Library Management*, 35(4/5), 308–319. <https://doi.org/10.1108/LM-09-2013-0092>
- Haneefa K., M., & Divya, P. (2018). Dissertations ( ETDs ) in India. In *ICT Application in Academic Library Management* (pp. 199–222).
- Hirwade, M. A. (2011). Digitization of Theses and Dissertations : Status Quo India. *Proceedings of the 14th International Symposium on Electronic Theses and Dissertations*, (September), 13–17.
- Ghosh, M. (2009). E-theses and Indian academia: A case study of nine ETD digital libraries and formulation of policies for a national service. *International Information and Library Review*, 41(1), 21–33. <https://doi.org/10.1080/10572317.2009.10762794>
- McDowell, C. (2007). Evaluating institutional repository deployment in American academe since early 2005: Repositories by the numbers, part 2. *D-Lib Magazine*, 13(9/10). Retrieved September 03, 2010, from <http://www.dlib.org/dlib/september07/mcdowell/09mcdowell.html>
- NDLTD. <http://ndltd.org>
- OpenDOAR. <http://v2.sherpa.ac.uk/opensoar/>
- ProQuest Theses and Dissertations. <https://www.proquest.com/products-services/dissertations/>
- Ratanya, F. C. (2010). Electronic theses and dissertations (ETD) as unique open access materials: Case of the Kenya Information Preservation Society (KIPS). *Library Hi Tech News*, 27(4), 15–20. <https://doi.org/10.1108/07419051011083190>

# REFERENCES

---

- Rodriguez, K. (2006). Electronic Theses & Dissertations ( Etds ) : A Literature Review. *Acceso: Revista Puertorriqueña de Bibliotecología y Documentación*, 8, 73–85.
- ShodhGanga. <http://shodhganga.inflibnet.ac.in>
- ShodhGangotri. <http://shodhgangotri.inflibnet.ac.in>
- Schopf, J., Chaudiron, S., Jacquemin, B., Prost, H., Severo, M., & Thiault, F. (2014). Open access to research data in electronic theses and dissertations: An overview. *Library Hi Tech*, 32(4), 612–627. <https://doi.org/10.1108/LHT-06-2014-0058>
- Swain, D. (2010). Global Adoption of Electronic Theses and Dissertations. *Library Philosophy and Practice (e-Journal)*. Retrieved from <http://digitalcommons.unl.edu/libphilprac/418>
- Vijayakumar, J. K., & Murthy, T. A. V. (2001). Need of a Digital Library for Indian Theses and Dissertations : a model on par with the ETD initiatives at International Level. *4th International Conference of Asian Digital Libraries (ICADL-2001)*, (December), 384. Retrieved from <http://hdl.handle.net/10760/7217>
- Vijayakumar, J. K., Murthy, T. a V, & Khan, M. T. M. (2004). Electronic Theses and Dissertations for Indian Universities : A Framework, 4–5. Retrieved from <http://shodhganga.inflibnet.ac.in/dxml/handle/1944/429>
- Yiotis, K. (2008). Electronic theses and dissertation (ETD) repositories: What are they? Where do they come from? How do they work? *OCLC Systems and Services*, 24(2), 101–115. <https://doi.org/10.1108/10650750810875458>
- Ubogu, F. N. (2001). Spreading the ETD Gospel: A Southern Africa Perspective. *International Information and Library Review*, 33(2–3), 249–259. <https://doi.org/10.1006/iilr.2001.0172>
- UGC. <http://www.ugc.ac.in>

THANK YOU!

---