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Business Requirements

Business Case

In many institutions it may be necessary to produce a Business Case to convince senior management of the need for an institutional e-theses repository or the need to make use of the central hub repository in order to participate in EThOS. Those funding the development will need to be convinced about the value of the end product and they will need to know the resources required to create and maintain it.

When writing a Business Case for establishing an e-theses repository, and considering participating in EThOS, a number of factors need to be taken into account.

1. Benefits

- The advantage of making theses available to users in electronic format.
- Specific advantages for different groups within the university (especially students).
- The advantage of organising the theses in a digital repository.
- The advantage of making the content available via a national e-theses service.

i.e. Details of why it is important to establish an e-theses repository.

2. Content

- Clarification of which theses will be included (including reassurance about embargoed works and information about retrospective conversion).
- Clarification about the relationship between the e-theses repository and other digital repository content (e.g. e-prints, data sets, etc).

i.e. Details of what the repository will contain.

3. Creation

- Information about the technical infrastructure required and the choice of software.
- Reference to guidelines that already exist regarding metadata, IPR, etc.
- Information about the changes that will be required to be made to institutional regulations.
- An outline of the training required for library and I.T. staff, administrators, students and supervisors, etc.

i.e. Details of how the repository will be created.

4. Sustainability

- Information about the capacity of the server, estimates of the growth rate and plans for dealing with an increasing volume of content, reassurance regarding backup arrangements, etc.
- Information about preservation arrangements and the potential role of EThOS in this respect.

i.e. The value and the management of the repository in the long term.

5. Resources

- Information about the level of staff input required (Library, I.T. and administrative staff, academic staff, etc.) and their respective roles in maintaining the repository / providing content to EThOS.
- Information about capital costs (e.g. the purchase of a server) and ongoing maintenance costs.
- Information about the cost of associated equipment (e.g. the provision of scanners for student use).
- Information about the cost of digitising paper theses (for both the on-demand service and a retrospective digitisation project).

i.e. Details of the costs involved in establishing and maintaining a digital repository and participating in EThOS.

Legal Issues

EThOS thesis submission workflow and resources



Documents associated with EThOS thesis submission workflow

- Memorandum of Understanding
| [Word Document](#) |
- Copyright Factsheet
| [Word Document](#) (125.95 Kb) | [PDF Document](#) (68.23 Kb) |
- Copyright and Plagiarism
| [Word Document](#) (77.31 Kb) | [PDF Document](#) (21.69 Kb) |
- Freedom of Information FAQs
| [Word Document](#) (89.09 Kb) | [PDF Document](#) (29.23 Kb) |
- Freedom of Information and Theses
| [Word Document](#) (82.94 Kb) | [PDF Document](#) (46.05 Kb) |
- Check List: Legal Issues Associated with EThOS
| [Word Document](#) (95.74 Kb) | [PDF Document](#) (32.31 Kb) |
- Deposit Agreement
| [Word Document](#) (103.42 Kb) | [PDF Document](#) (48.50 Kb) |

- Notice and Take down policy
| [Word Document](#) (81.41 Kb) | PDF Document (21.88 Kb) |
- Letter 3: Letter from Institution to author informing him/her that his/her thesis will be included in an institutional repository and EThOS when a request is made by a third party for access to the thesis unless he/she opts-out
| [Word Document](#) (81.41 Kb) | PDF Document (21.55 Kb) |
- Letter 4: Letter from Institution to author stating that an electronic copy of his/her thesis will be placed in EThOS unless he/she opts-out, when Institution already has permission to digitise and make available a digital copy of the thesis via the Institutional Repository
| [Word Document](#) (81.92 Kb) | PDF Document (21.28 Kb) |
- Letter 5: Letter from Institution to author seeking permission to digitise thesis (or to be given digitised copy) and place it in the Institutional Repository and EThOS.
| [Word Document](#) (95.74 Kb) | PDF Document (38.17 Kb) |

EThOS: Author information

EThOS author workflow



Documents associated with EThOS author workflow

- Deposit Agreement
| [Word Document](#) (103.42 Kb) | PDF Document (48.50 Kb) |
- Letter 1: Letter from author to publisher seeking permission to include in a thesis material written by the author in which copyright has been assigned to the publisher
| [Word Document](#) (80.90 Kb) | PDF Document (20.68 Kb) |
- Letter 2: Letter from the author to a publisher or other third party asking for permission to include material in which the copyright belongs to the publisher/third party
| [Word Document](#) (82.43 Kb) | PDF Document (20.36 Kb) |

EThOS recommends the implementation of a revised Deposit Agreement by any institution that intends to make its theses available via an Institutional Repository and/or the EThOS system. This should be applied to both paper and e-theses.

Suggested wording can be found in the Model deposit agreement ([Word Document](#) | PDF Document).

This deposit agreement should be put into place as early as possible regardless of whether the institution is intending to introduce e-submission or will be continuing with paper submission for some time.

Authors may consider the following sample letters useful if they seek guidance on obtaining permission to include material owned by third-party copyright holders in their thesis:

- Letter 1: Letter from author to publisher seeking permission to include in a thesis material written by the author in which copyright has been assigned to the publisher. ([Word Document](#) | [PDF Document](#))
- Letter 2: Letter from the author to a publisher or third party asking for permission to include material in which the copyright belongs to the publisher/third party. ([Word Document](#) | [PDF Document](#))

Once the revised Deposit Agreement is in place, any thesis can be offered via the Institutional Repository and/or EThOS. However, for all theses produced up until that revised agreement is in place, there is no authority to digitise the thesis, store it electronically or deliver it in e-format.

This means that for all theses submitted to date, specific permissions should be sought. Given the number of theses within copyright, this would be hugely difficult, time-consuming and very expensive. It would make offering a viable system impossible and would severely limit the number of theses which could be supplied. Even where the author could be found, delivery timescales would be dramatically increased while the permissions were sought and administered.

EThOS will therefore digitise, store and distribute existing theses and any submitted outside of the Deposit Agreement in future WITHOUT gaining specific distribution rights. **The EThOS system, then, will adopt an 'opt-out' approach rather than 'opt-in'.**

This decision is not made lightly and is made on the assumption that:

- The majority of authors wish to demonstrate the quality of their work.
- Institutions wish to demonstrate the quality of their primary research

Should any author object to their thesis being made available via the service, there will be **a clear notice and take-down policy on legitimate objection.**

Please refer to the EThOS Notice and Take Down Policy ([Word Document](#) | [PDF Document](#)).

This 'opt-out' approach is mitigated by the following factors:

- EThOS will only accept theses from the awarding institution.
- It is entirely at the awarding institution's discretion whether they supply a thesis or not.
- In a large number of cases the author has given permission to supply their thesis in the past via the Thesis Agreement Form, though not specifically to be stored or distributed in digital form.
- A major publicity campaign will be undertaken via alumni magazines and the press to inform authors of the service and that they should get in touch with their institution if they DON'T want their thesis made available.
- Embargos will be respected at two levels:

1. The originating institution can choose not to supply the thesis or the thesis record in the first place
2. The system holds an embargo date and will not make a thesis available before that date

From the legal point of view, there is a risk of action by an author against the system should it make the author's thesis available without permission. The following factors mitigate that risk:

- The notice and take-down policy
- The system operates on a cost-recovery basis i.e. no-one profits from the author's work.
- The intention of the system is positive i.e. to benefit the author and the institution.
- The publicity campaign shows 'best effort' to inform authors.

The risk of action by an author against the system is considered low and, as such, The British Library will offer it on an 'opt-out' basis.

Institutions that are considering contacting these authors in connection with plans to make their work available in an institutional repository and/or EThOS may find the following sample letters useful:

- Letter 3: Letter from Institution to author informing him/her that his/her thesis will be included in an institutional repository and EThOS when a request is made by a third party for access to the thesis unless he/she opts-out ([Word Document](#) | [PDF Document](#))
- Letter 4: Letter from Institution to author stating that an electronic copy of his/her thesis will be placed in EThOS unless he/she opts-out, when Institution already has permission to digitise and make available a digital copy of the thesis via the Institutional Repository ([Word Document](#) | [PDF Document](#))
- Letter 5: Letter from Institution to author seeking permission to digitise thesis (or to be given digitised copy) and place it in the Institutional Repository and EThOS. ([Word Document](#) | [PDF Document](#))

Copyright

- Copyright Factsheet
| [Word Document](#) (125.95 Kb) | [PDF Document](#) (68.23 Kb) |
- Evidence based best practice guide: [Third party Copyright](#)

IPR and Plagiarism

- Copyright and Plagiarism
| [Word Document](#) (77.31 Kb) | [PDF Document](#) (21.69 Kb) |
- Evidence based best practice guide: [Plagiarism](#)
- Evidence based best practice guide: [Third party Copyright](#)
- Evidence based best practice guide: [Sensitive content](#)

Deposit Agreements

Licensing

Ownership rights issues arise both with incoming content, known as upstream rights, and also with outgoing content at the other end, known as downstream rights. Licences are an excellent way to manage this process legally, by providing a framework to systematically allocate and identify rights. Such agreements should ideally be comprehensively gathered at source from the original owner so rights can effectively be passed down the management chain through the institution to the end user with minimal effort. In all cases an agreement from the depositor, henceforth called a deposit licence, is required to cover the special requirements necessary to store, organise and manage repository content. A comprehensive deposit licence agreement should cover a number of core topics, including a depositor's declaration, the repository's rights and responsibilities and the re-use terms and conditions. The following sections discuss the individual elements required for each of these agreements before a suitable licence is constructed for repositories to use.

Liability

It is also desirable for the host institution of a repository to protect itself legally in case of any future dispute as to the repository content. The deposit licence should clearly indicate that the repository is not responsible for any mistakes, omissions or infringements in the deposited work. Furthermore, in the event of a breach of intellectual property rights, or other laws including defamation, the repository should indicate that it is not under any obligation to take legal action on behalf of the original author, or other rights holders, or to accept liability for any legal action arising from any such breaches.

Access and distribution rights

The depositing author needs to grant to the host repository a number of permissions and conditions with respect to online access to their work. This is normally implemented in conjunction with a declaration from the depositor. The main function of this depositor's declaration is to ensure that the depositor is the copyright owner, or if by proxy, has the permission of author/copyright holder to deposit. Equally important is to determine whether the author has sought and gained permission to include any subsidiary material owned by third-party copyright holders.

Digital preservation

Even though individual requirements may differ between institutions, the majority of working institutional repositories insert clauses into the deposit licence to allow for future acts of digital preservation to be carried out. Any deposit licence for digital materials must consider the following clauses to allow for future digital preservation efforts ([Preservation Management of Digital Materials: A Handbook](#), Jones and Beagrie, accessed 28/07/2009):

1. permissions needed for copying for the purposes of preservation;
2. permissions needed for future migration of content to new formats for the purposes of preservation;
3. permissions needed for emulation for the purposes of preservation.

Metadata and item removal

The next significant part of the deposit licence is to determine the access, distribution, removal and ownership rights to any catalogue or metadata records associated with the item. For some items the repository may need the right to incorporate metadata into public access catalogues and to determine protocols for the removal of such records from the catalogues should the need arise.

Deposit licence for e-thesis repositories

A deposit licence should give managers of repositories the rights they require to store, organise and manage repository content. The licence presented here could be used by the EThOS central hub repository, or by other institutions wishing to set up their own repository and have content either harvested or physically held by the EThOS central hub.

- Deposit Agreement
| [Word Document](#) (103.42 Kb) | [PDF Document](#) (48.50 Kb) |

EThOS user workflow and resources

EThOS user workflow



Documents associated with EThOS user workflow

- EThOS Terms and Conditions of Use
| [Word Document](#) (79.36 Kb) | [PDF Document](#) (20.89 Kb) |

Restricted Theses

In exceptional circumstances, it may be necessary for authors to restrict access to their thesis for a limited period. Restrictions may be considered when the thesis is concerned with topics that are politically, commercially or industrially sensitive. The thesis embargo time period will depend on the individual educational establishment's rules and regulations. Typically such restrictions last for one or two years and are extendable for a finite period of time.

Following [research](#) in 2010 into e-theses in the UK HE sector, UCL have produced best practice summaries on [sensitive content](#) and [embargos](#).

The Freedom of Information Act 2000 (FOIA), (in Scotland the Freedom of Information (Scotland) Act 2002 (FOISA)), gives anyone a right of access to any information held by an institution, unless an exemption applies, regardless of who owns the intellectual property rights in that information. This means that anyone has the right to see the information held in any format by any part of the Library, unless refusing access can be justified in terms of a FOIA, or FOISA, exemption. Thus, it is not sufficient for the author to indicate that they want to restrict an item; they must also explain the reason for that restriction in terms of a FOIA, or FOISA, exemption. Regarding theses, a number of possible exemptions may apply under the Act including where:

- The material is due for publication, or the author is actively seeking to publish this material.

- Release of the material would prejudice substantially the commercial interests of any person.
- The material includes information that was obtained under a promise of confidentiality.

Digital repositories have almost universally adopted the Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH). This protocol supports interoperability among digital repositories and explicitly makes it possible to harvest and share metadata about the repositories resources. By implementing the OAI protocol institutions are clearly expressing their intention to share data in the spirit of the open access movement.

If a thesis is to be restricted in the EThOS central hub repository then it should be entirely suppressed. The EThOS project or any other service provider should not be able to harvest the metadata or any of the text. Currently the repository software used by a number of institutions already has this functionality built in as default. If your repository software does not allow this then the thesis should simply not be deposited in your or the central hub repository; business processes should prevent this. When a restriction is finished, institutions should then unblock the item in their repository or deposit the item to the repository, allowing it to be harvested by the EThOS central hub.

Institutions need to put procedures in place to ensure that embargoed theses are not released and also to ensure that theses are released to public view after the agreed period of restricted access. A relevant committee might be required to agree a period of restricted access to a particular thesis restriction. A nominated member of staff might be responsible for administrative issues. Appropriate forms should be available for authors to request a period of restricted access to their thesis.

- [Sample form requesting restricted access to a thesis](#)

Further details about 'Freedom of information' FAQs, and FoI and Theses, can be found at the following:

- Freedom of Information FAQs
| [Word Document](#) (89.09 Kb) | [PDF Document](#) (29.23 Kb) |
- Freedom of Information and Theses
| [Word Document](#) (82.94 Kb) | [PDF Document](#) (46.05 Kb) |

Reuse Licence

A reuse, or end-user licence, agreement can be important to clearly define the rights of end users to downloaded material, for example, reproduction and access, and to remind end users of any restrictions placed on the item. This should be a decision individual institutions make about their own research. The reuse rights should be conveyed to the end-user through the prominent legal notices displayed in the EThOS central hub.

Material contained within an institutional repository is protected by copyright however, to emphasise this fact to users, it may be preferable to include text to this effect. Institutional repositories may contain wording such as:

Copyright / IPR for all items in this repository is retained by the individual authors and / or copyright owners and moral rights are reserved. Specific works may have been

assigned a 'Creative Commons' use licence: where this is the case the individual publications are clearly marked.

EThOS Take down workflow and resources

EThOS Take down workflow



Documents associated with EThOS Take down workflow

- Notice and Take down policy
| [Word Document](#) (81.41 Kb) | [PDF Document](#) (21.88 Kb)

Administrative Issues

A number of factors need to be taken into account when working towards achieving a change in university regulations to allow, or require, the submission of theses in electronic format:

Level of theses

A decision has to be taken regarding which theses and dissertations will be made available in the repository. The central hub will store only doctoral level theses. However, an institutional repository may include dissertations that are produced in fulfilment of the degree of MPhil, MLitt, MBA, MSc, MA and other masters awards in addition to doctoral theses. An institutional repository may contain all doctoral theses and just a selection of the 'best' masters level dissertations. However, when deciding upon the content, consideration should be given to the purpose of the repository. A selective approach may be taken if the aim is to showcase the most outstanding examples of the student work, but an all-inclusive approach may be preferred if the aim is to demonstrate the quantity and the diversity of the institution's research output.

Timescale

More than one university committee may need to be approached and a proposal to allow, or require, the submission of theses in electronic format may need to be discussed at several meetings before it is accepted formally. It may prove helpful to put forward a 'discussion paper' for approval in principle at an early stage so that committee members are familiar with the idea by the time detailed paperwork is submitted.

Mandatory or optional electronic submission

It is necessary to consider the pros and cons of both mandatory submissions in electronic format and optional e-submission. Requiring electronic submission will result in a higher volume of content within a short space of time, but it may be harder to persuade committee members to approve this proposal. Optional submission may

be an easier proposal to have passed by a committee but it is likely to lead a much higher level of advocacy work.

Gradual Change

If mandatory submission in electronic format is proposed, there may be concern about potential additional demands on students who are part way through their research. It may be best to propose the mandatory regulations take effect with regard to the next new intake of doctoral and/or masters students - and that voluntary submission is encouraged for existing students.

Multimedia format

In order to avoid the need to revise the relevant university regulations annually, it is best to concentrate on the mechanism for seeking approval of multimedia format rather than deciding upon a list of approved software etc. References to the need for students to have their choice of multimedia approved by their supervisor and agreed with the staff maintaining the e-theses repository should suffice to ensure that only mainstream formats are used.

Embargoes

If revising the regulations regarding 'embargoes' for theses it is necessary to take account of relevant legislation (e.g. the 'Freedom of Information Act' and 'Freedom of Information (Scotland) Act'). Regulations could be worded so that theses are automatically made available on the Web at the end of the embargo period unless the student actively requests, and obtains, an extension to the original period.

Web Access and repositories

Repositories should state clearly that the electronic version of the theses will be stored in an institutional or consortium repository, or by the British Library, and that the content will be made available on the Web. Attention should be drawn to relevant copyright and IPR implications.

Suggestions and Complaints

Institutions need to put in place a policy and procedure for dealing with suggestions and complaints from users of the repository and those whose works are included in the repository. It will be helpful, from the outset, to have clear guidelines about the circumstances in which it would be advisable or acceptable to remove content. A decision should be made regarding the extent to which the details of the 'take down' policy are publicised on the Web pages.

EThOS participation options

The aim of EThOS is to offer participation options which allow any institution, regardless of size or number of theses produced annually, to take part.

Please note: EThOS will replace the British Thesis Service when it goes live for the start of the 2008 academic year. From that time, The British Library will no longer microfilm theses and the current British Thesis Service will cease.

Summary

The aim of EThOS is, through a collaborative approach, to offer a 'single point of access' where researchers the world over can access all theses produced by UK Higher Education. In addition, UK HE wishes the opportunity to offer theses Open Access i.e. free at the point of use.

The number of e-theses currently available is very small, so in order to meet expectations and provide a comprehensive resource for researchers, EThOS is creating new e-content by the digitisation of paper theses on demand.

In order to allow participation of all institutions regardless of size or number of theses produced while also supporting Open Access and meeting the costs of digitisation, a business model has been developed with 4 participation options. They are:

1. Open Access Sponsor – where the institution agrees to provide a contracted number of paper theses for digitisation, selected on-demand by researchers using the system. The institution contributes an appropriate sum to the maintenance of the system in advance of digitisation. Contribution levels are suggested below. This option would suit larger institutions producing more theses. Contribution is determined by the institution's JISC banding.
2. Associate Member Level 1 (Open Access) – where the institution contracts to supply paper theses selected on-demand by researchers using the system, making contribution retrospectively for theses digitised.
3. Associate Member Level 2 – where the first researcher to order the thesis is charged for the digitisation.
4. Associate Member Level 3 – where EThOS routes the researcher to the institution for supply.

Once digitised, the thesis will be available Open Access to all researchers for the life of the system. Fuller information on these options is available by following the links above. Benefits to the institution workflow and potential savings are also highlighted.

Open access and meeting the costs of digitisation

The aspiration of UK HE is to offer its theses 'Open Access' i.e. free at the point of use. The number of e-theses currently available is very small, so in order to meet expectations and provide a comprehensive resource to replace the current out-of-date, commercial thesis discovery and supply service, EThOS will seek to recover costs through contribution made by participatory members, plus paid for services provided to Researchers. The major cost in offering EThOS is a digitisation facility to digitise an expected demand of 15,000+ theses per year.

The participation options aim to deliver a business model funded by contributions made by participating UK HEIs, while offering those HEIs a choice of how they wish to offer their theses. Institutions can choose which relationship with EThOS best suits their needs.

As its contribution to the partnership, The British Library will build a technical infrastructure comprising an application housed on a central server and a digitisation studio to operate EThOS on a not for profit basis.

Cost to digitise a thesis

Although theses vary in size, content and complexity, a standard cost will be applied to their digitisation to simplify and aid understanding and reporting.

The costs are as follows:

To digitise a bound thesis and return it undamaged to the institution ('Digitise and return')	£40
To digitise a thesis supplied for digitisation loose-leaf or where the binding can be removed and the thesis discarded after digitisation ('Digitise and discard')	£26

Please note that these figures include all costs except the cost of outward postage of the original thesis from the institution to EThOS. Unpacking, recording, digitisation, quality checking, return postage by courier and subsequent supply to the Institutional Repository are all included.

Also note that theses only need to be digitised once. They are then stored on the EThOS server for subsequent supply. The cost of digitisation is a one-off cost per thesis and therefore, as the majority of theses of interest to researchers become digitised over time, costs decline. It is estimated that after around 10 years, the majority of theses of interest will be digitised.

Participation options

There are four participation options available:

- [Open Access Sponsor](#)
- [Associate Member Level 1 - Open Access](#)
- [Associate Member Level 2](#)
- [Associate Member Level 3](#)

All options share these common features:

- Open to all UK HEIs
- All harvested e-theses (*see note) or those digitised as a result of a digitisation project are supplied Open Access with no cost to the institution or the researcher
- Theses are digitised once and are made available on-line and Open Access to all who wish to access them from then on.
- Any thesis digitised by EThOS will be available for download by the originating institution and load to their own repository.
- Metadata and e-theses (*see note) can be harvested from the HEI Repository or loaded manually using the Web Service.
- The HEI chooses its participation option (see options above).
- Preservation in perpetuity is offered by The British Library for those theses stored on and offered via EThOS
- The option to sponsor additional digitisation projects to meet local HEI priorities.
- The option to switch between schemes should circumstances change e.g. if the budget for Open Access runs out and no further funding is available, the institution can switch to one of the other schemes e.g. researcher pays. See the descriptions above for further details.

Note: For Associate Member Level 3, only metadata will be harvested

Open Access Sponsor

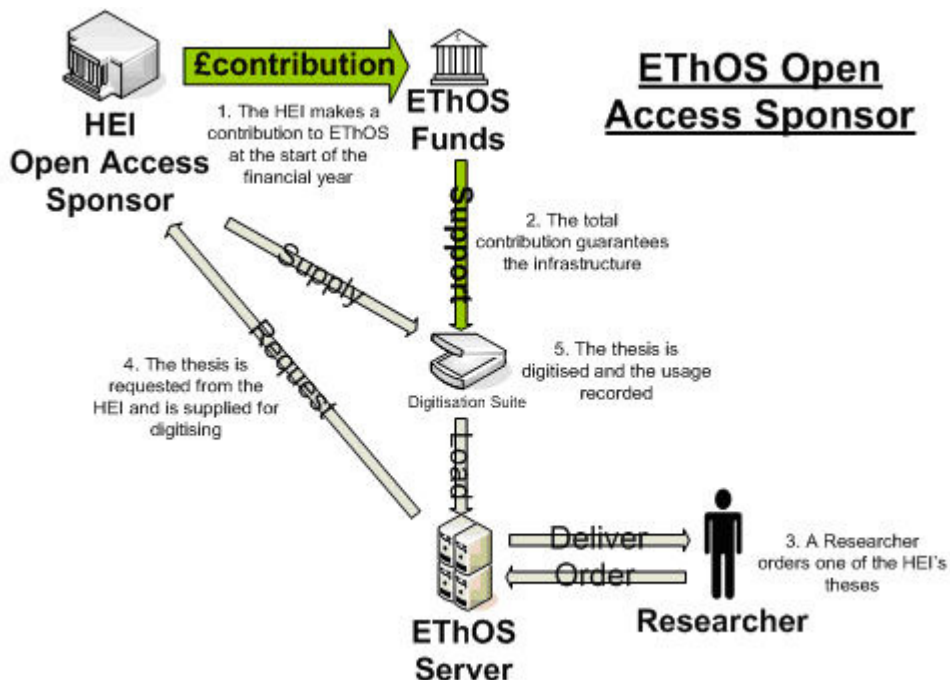
Aimed at

Large institutions or those who produce a large number of theses per year in popular subject areas and who wish to offer their digitised theses Open Access.

Description

An Open Access Sponsor is contracted to supply the specified number of theses selected on-demand by researchers using the system, and makes an appropriate

contribution to EThOS at the start of the financial year. The size of the contribution is based on the institution's JISC banding and will be used to cover the cost of digitisation of the institution's own theses on a not for profit basis.



Suggested contributions are as follows, though these levels are not mandatory and the sum paid is at the discretion of the institution i.e. you may pay more if you wish to ensure that digitisation of all requested theses will be covered:

Institution size	JISC Bands	Contribution p.a.	No. theses digitised @ £40 inc VAT (& returned to institution)*	No. theses digitised @ £26 inc VAT (& then destroyed)*
Large	A, B, C	£8000	200	307
Medium	D, E, F	£4000	100	153
Small	Others	£2000	50	76
Smallest	Others	£700	17	27

* When asked if institutions would be interested in sending in unbound copies or duplicate theses to be disbound, digitised and then destroyed (at a reduced cost of £26), the responses showed that an overwhelming majority (c90%) preferred the option where the paper thesis is preserved and returned intact to your Institution (at a cost of £40). Both options ensure that the scanned copy on the EThOS server will be preserved under the British Library's preservation programme.

EThOS will monitor the level of the HEI contribution against the theses digitised and advise HEIs of the remaining level at key points in the year.

Should the full contribution not be used to digitise theses during the period, the HEI will be able to select a set of theses for digitisation to the value of the remainder of the contribution. In this way, the HEI has a set number of theses guaranteed to be digitised for their contribution.

Should the number of orders exceed the HEI's contribution, HEIs may make

arrangements to make a further contribution or to switch to Associate status for the remainder of the year. EThOS has analysed past demand from HEIs and is approaching those who are predicted to fall into this category.

Features of the Open Access Sponsor model include:

- A minimum initial commitment of 3 years (contributions made in advance in the most convenient manner for the institution e.g. annually, lump sum, etc.)
- Guaranteed number of theses digitised for the contribution selected on-demand by researchers
- HEI choice of additional theses to digitise should the full contribution value not be delivered on-demand.
- HEI commitment to review options should the contribution be exceeded i.e. if your theses are very popular!
- HEI commitment to supply original paper theses for scanning on demand, according to the [Memorandum of Understanding](#)
- The HEI may download theses originating from their institution for inclusion on their Institutional Repository
- Preservation via The British Library for theses stored on and offered via EThOS
- Higher priority for HEI sponsored digitisation projects
- Usage statistics

Why make a contribution up front?

If you read the other participation options you will see that the cost of digitising theses can be met by contributing retrospectively, also on a not for profit basis. So why contribute up front?

Advance contributions help HEIs in planning their budgets, and will 'guarantee' EThOS for the research community.

Even operating on a not-for-profit basis, the EThOS infrastructure costs a substantial amount of money and represents a major financial risk to the British Library, who will be operating EThOS as its part in the collaborative agreement. The British Library receives no other financial support in offering EThOS and a financially viable and sustainable model is required by JISC and the HE community.

Advance contributions to the appropriate level will offer a reasonable basis on which EThOS can establish itself, build and develop. It will allow development that pays back the full contribution in terms of a guaranteed number of theses. It also supports the Open Access initiative for digitised theses.

This method also supports an infrastructure which allows other, smaller HEIs or those working in less popular areas to make their theses available under other models, and as part of a single point of access for researchers.

In other words, those who most directly benefit guarantee a facility which allows all to take part whilst receiving full value of their contribution in terms of their own digitised theses.

Associate Member Level 1 - Open Access

Aimed at

Smaller institutions or those who produce a smaller number of theses per year and who wish to offer their digitised theses Open Access.

Description

The system monitors digitisation of theses from the HEI and the HEI is contracted to make a retrospective contribution to the value of the theses digitised. The HEI supplies theses when requested. As with the Open Access Sponsor, should the number of orders exceed the contribution that the HEI wishes to make, the HEI may switch to the Associate Member Level 2 status for the remainder of the year.

Features of the Associate Member Level 1 - Open Access model include:

- No advance contribution
- Retrospective contribution made to the value of theses digitised
- Quarterly requests for retrospective contribution for theses digitised on-demand
- HEI commitment to supply original paper theses for scanning on demand, under the terms of the [Memorandum of Understanding](#)
- The HEI may download theses originating from their institution for inclusion on their Institutional Repository
- Preservation via The British Library for theses stored on and offered via EThOS
- Additional digitisation projects as resources and capacity permit
- Usage statistics

Associate Member Level 2

Aimed at

Institutions who wish to participate but who do not wish to or cannot afford to cover the costs of digitisation of their theses.

No payment is required from institutions participating at this level.

Description

The system charges the cost of digitisation to the first researcher to order the thesis. The researcher pays via a secure credit card transaction. Thereafter, the thesis is available Open Access for all other researchers wishing to access it. The only cost to the institution is the cost to retrieve and send the thesis to EThOS.

Features of the Associate model include:

- No contribution of any kind from the institution
- Digitisation paid for by the first researcher to order a thesis
- HEI commitment to supply original paper theses for scanning on demand, according to the [Memorandum of Understanding](#)
- The HEI may download theses originating from their institution for inclusion on their Institutional Repository
- Preservation via The British Library for theses stored on and offered via EThOS
- Usage statistics

Associate Member Level 3

Aimed at

Institutions who wish to supply their theses themselves.

No payment is required from institutions participating at this level.

Description

The system displays metadata for the institution's theses and either routes the researcher to the thesis record on the institution's repository (where records and links are supplied) or informs the researcher to contact the institution directly.

Features of the Associate model include:

- Metadata display only – no thesis supply in any format.
- Links to the institution record if made available.
- No paid for services to the researcher offered.

Practical Participation

The options listed above are the only participation options available and choice of participation option is entirely at the discretion of each institution. However, there is some flexibility within the structure. The following are examples:

- Suggested contributions are based on JISC banding, but this level can be added to either throughout the year or by contributing initially at a higher level e.g. if you are a JISC band E institution but expect to have more than the specified number of theses digitised because you produce a large number, choose to contribute £8,000 rather than £4,000
- EThOS will let you know regularly how many theses have been digitised, at what rate, and how this relates to your contribution (if you are an Open Access Sponsor), so you are fully aware of usage and whether your contribution will last for the full year.
- Should the value of the contribution be exceeded during the year, you may decide to switch models and pass the costs of digitisation on to the user, or you could become an Open Access Member Level 2 where you are requested for retrospective contribution for actual theses digitised.
- You may find you have additional funds and some specific theses you want digitised and made available for your own reasons. In this case you can fund a digitisation project where EThOS will digitise theses of your choice and request contribution directly (provided capacity is available).
- You may find a number of your theses already digitised as a result of the [UK Thesis Digitisation Project](#), a project funded by JISC and which is digitising c12,000 popular theses to load to the EThOS system for Day 1.
- You may wish to source the electronic versions of your theses by contacting Alumni and loading to EThOS via the web service. These theses cost you nothing (except staff time) and increase your presence on EThOS. A sample letter is available via this toolkit which can be locally edited and used to contact alumni direct or to place in suitable alumni publications.
- You are at liberty to decline to supply any thesis requested by EThOS for digitisation for whatever reason you see fit. It is not mandatory, that you supply a thesis when requested. Embargoes can be applied at 2 levels: - 1) you don't tell EThOS about a specific theses so it can't be requested and, 2) EThOS allows you to apply an embargo date which will not allow supply of a thesis until after that date.

Paid Services for the Researcher

While it is expected that the majority of theses will be supplied Open Access by download to the researcher's computer, it is also expected that some researchers may want some theses to be supplied to them on physical media. There may be several reasons for this including:

- the file is too big to download
- they wish to save their own time and effort
- they want a physical copy
- they want the thesis bound and the EThOS paid for service is the most economical method of achieving that.

To meet this demand, EThOS will offer to supply theses in the formats listed below. In this instance EThOS is saving the researcher time, effort and materials, and will therefore charge the researcher for these services. The researcher will be able to pay in advance by credit card when ordering.

Supply format	Cost to researcher
Download	None
Printed	
Loose-leaf	£20
Soft-bound	£25
Hard-bound	£30
CD/DVD	£15 (inc. VAT)

The figures quoted include all materials and production costs including postage to the researcher and are considerably cheaper than the cost of the current thesis supply service.

Examples

- If the researcher wants to download a thesis from an Open Access supplier, the researcher pays nothing whether that thesis is already digitised or needs to be digitised.
- If the researcher wants a thesis printed and hard-bound from an Open Access supplier, the researcher pays £30.
- If the researcher wants a thesis printed and soft-bound from an Associate Member Level 1 institution who wants the thesis returned undamaged, the researcher pays £60 (£35 for digitisation + £25 for printing and binding).

Delivery times

Once digitised and loaded to EThOS, a thesis is immediately available for download or Paid Service processing and will remain so for the life of EThOS.

The major delay in supplying a thesis from a University library shelf to an on-line researcher who has ordered it is the retrieval time from the shelf and the delivery time to EThOS. Digitisation by EThOS once the thesis has arrived is very quick.

EThOS offers an integrated system where, once a researcher has committed to a request for a thesis currently sitting on a University library shelf, the system immediately sends an email to a nominated contact at the institution.

The University library will be asked to commit to retrieving the requested thesis and putting it in the post to EThOS by the start of the next working day.

Once received at EThOS, the thesis will be digitised and loaded. If the researcher wishes to download, they will be emailed by the system to inform them that the thesis is available.

If a Paid Service is required, a job slip will be produced and the thesis downloaded and processed by EThOS administration. The thesis will then be posted to the researcher.

An Order Processing History which the researcher will be able to view will have key workflow steps highlighted with dates and times achieved for every order. It will look something like the following (note: actions are displayed in reverse order with the most recent first):

Thesis ready for collection	07/09/2008 14:02
Thesis received at EThOS	04/09/2008 09:21
Thesis requested from institution	01/09/2008 13:38
Order placed	01/09/2008 13:37

Turnaround times (the time from receiving the order on-line to posting the thesis) offered by EThOS will be as follows:

Delivery format	Source	
	Already on EThOS	To be digitised
Download	Immediate	10 days
Paper		
Loose-leaf	2 days	12 days
Soft-bound	2 days	12 days
Hard-bound	10 days	20 days
CD/DVD	2 days	12 days

Note that these supply times are much quicker than the current British Thesis Service offers and can only be achieved with the co-operation of the supplying institutions i.e. by posting the thesis to EThOS the next working day after request.

Benefits to the Institution Workflow

Although the EThOS Open Access model has institutions contributing up to £8000 per annum, this sum is offset by a number of factors which lead to savings. Examples of these include:

- Reduction in staff time photocopying theses – a thesis can take around 45 to 70 minutes for a member of library staff to photocopy, and it must be photocopied every time a copy is required. Participation in EThOS means that the thesis is digitised once by EThOS staff and from that point onward the thesis is available on-line and open access.
- Reduction in ILL processing time – instead of requesting a thesis from a partner library, recording receipt, supplying to the researcher, managing the loan and returning the thesis, it can be ordered from EThOS. Once digitised it is available for all libraries on-line and open access.
- Reduction in ILL processing time – similar savings for loans TO other institutions.
- Freeing up of shelf space – once digitised, the paper copy of a thesis could be removed to less accessible shelving as it will always be available on-line and open access.

- Removal of administrative tasks from information professionals – all of the above mean that information professionals have more time to offer high quality services to researchers rather than spending time on retrieving and processing theses.

As well as these direct benefits, the benefits of making the work of the institution known to researchers the world over could lead to increased investment and increased interest from students.

Participation options comparison table

Open Access Sponsor	Associate Member Level 1	Associate Member Level 2	Associate Member Level 3	
Aimed at:	Large institutions or those who produce a large number of theses per year in popular subject areas and who wish to offer their digitised theses Open Access.	Smaller institutions or those who produce a smaller number of theses per year and who wish to offer their digitised theses Open Access.	Institutions who wish to participate in the service but cannot afford to offer their theses digitised open access.	Institutions who wish to fulfil requests for theses themselves.
The service is open to all UK HEIs	✓	✓	✓	✓
All harvested e-theses or those digitised as a result of a digitisation project are entered into EThOS with no cost to the institution	✓	✓	✓	
E-theses can be harvested from the HEI Repository or loaded using the web service	✓	✓	✓	
Theses are digitised once and are made available directly from the service on-line and Open Access from then on. HEIs may also have a copy for their own repositories.	✓	✓	✓	

<p>Preservation in perpetuity by The British Library for those theses stored on and offered via EThOS. The option to sponsor additional digitisation projects to meet local HEI priorities.</p>	✓	✓	✓	
<p>Pays a deposit to the service at the start of the financial year. The size of the deposit is based on the institution's JISC banding. The HEI supplies theses for digitisation as they are demanded by users of the system. The cost of digitising the institution's own theses is deducted from the deposit.</p>	✓			
<p>The HEI supplies theses for digitisation as they are demanded by users of the system. The system monitors the numbers digitised from the HEI and the HEI is invoiced for the appropriate amount.</p>		✓		
<p>Should the number of orders exceed the level the HEI has budgeted for, HEIs may make arrangements to switch to any of the Associate Member options for the remainder of the year.</p>	✓	✓		
<p>The system charges the cost of digitisation to the first researcher to order the thesis. The researcher pays by credit card. Thereafter the thesis is available Open Access for all other researchers to access it. The only cost to the institution is the cost to retrieve and send the thesis to the</p>			✓	

service.				
The system displays metadata for the institution's theses and either routes the researcher to the thesis record on the institution's repository (where records and links are supplied) or informs the researcher to contact the institution directly.				✓

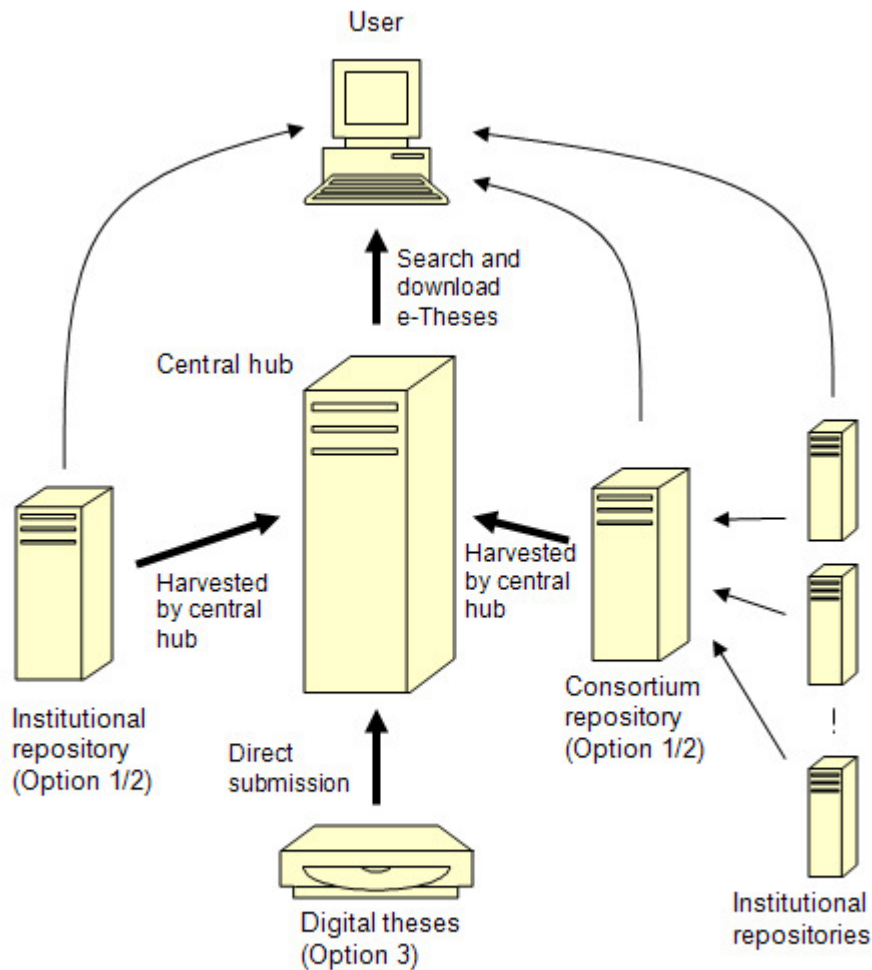
EThOS Repository Options

This section provides information about the three possible repository options you can choose from to make your theses available online via EThOS.

Option 1. Use an existing institutional or consortium repository

Option 2. Set up an institutional or consortium repository

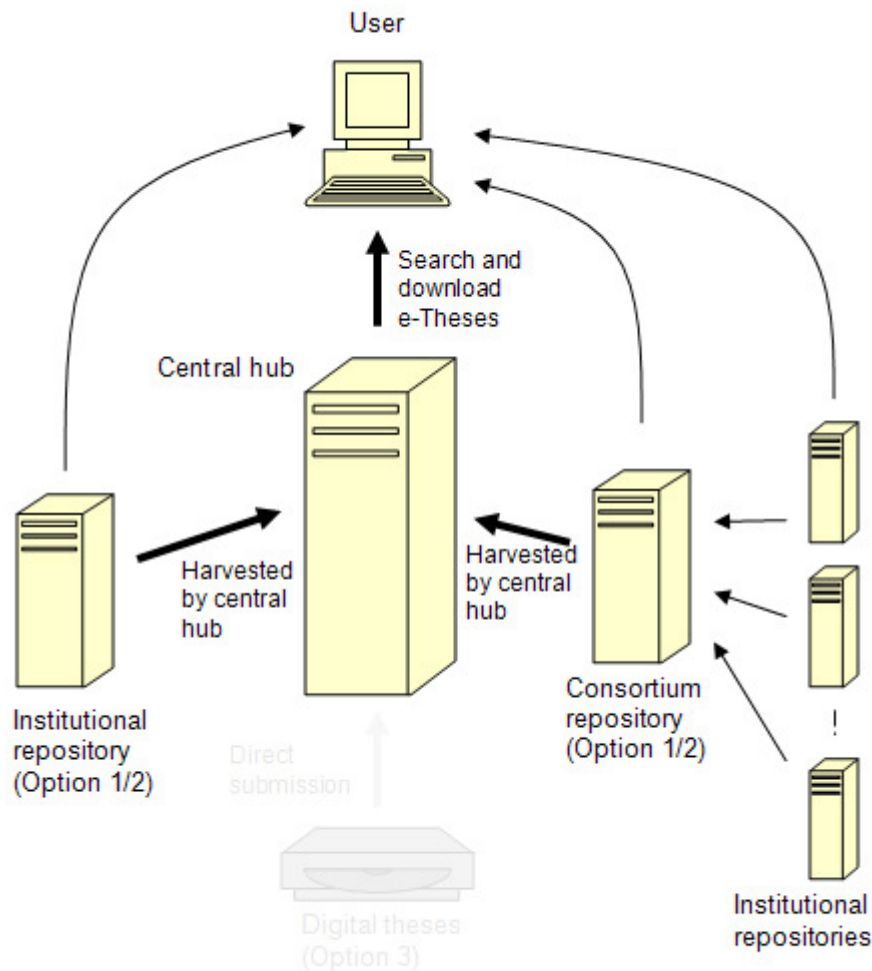
Option 3. Participate in EThOS without setting up an institutional repository



Available repository options

The toolkit highlights some of the key factors involved in the above three repository options. Please click on the links to go through each of the possible repository options.

Use an existing institutional or consortium repository



Using institutional (or consortium) repository options

If you already have your own repository, you can participate in EThOS by letting the central hub harvest it for the theses content. Depending on the level of participation you choose, you will have the option of letting the central hub harvest either the metadata for the thesis or the full content. More information about the different levels of participation can be found in the participation options section.

In most cases, there should not be any major modifications necessary to your repository in order to allow the central hub to harvest it. However, in some cases, depending upon which repository software you use and how you organise the content in your repository, a few additional setups may be necessary. Details on these additional setups can be found in the 'Guide to using an existing repository' section. Listed below are some general factors that should be considered when deciding on this option and making a Business Case.

Set up Options

If you already have your own repository, you may already have technical staff assigned to maintain it, and therefore the setup cost for making it available for harvesting by the central hub may be minor.

Staffing

Limited additional staff time may be required if you already maintain an institutional repository. However, allowance should be made for start up arrangements (such as changing university regulations) and for ongoing work (such as assigning metadata). The 'Guide to using an existing repository' illustrates the work that is involved and the skills that are needed to extend an existing repository to include e-theses and make it harvestable by the EThOS central hub.

Advantage

Speed: you will be able to upload content to the repository at any time. This allows you to make your content available online quickly.

Preservation: you can preserve your content in both your institutional repository as well as the central hub repository provided you make the full content of your theses available online via EThOS.

Multipurpose use: you can make multipurpose use of your repository by storing other digital content, such as staff publications, working papers, etc. along side your e-Theses. This will allow other, related research work to be more visible.

Enhanced dissemination: The content of your repository may be harvested by other content providers. This will allow further dissemination of your research output.

Disadvantage

Impact on Search: If you choose to provide only metadata to the central hub, you will not be able benefit from the full text searching of your e-Theses by users of the EThOS central hub interface.

Set up an institutional or consortium repository

If you do not have your own repository, you may want to set one up (or may want to join or form a consortium involving several universities) and let the central hub harvest it. Depending on the level of participation you choose, you will have the option of letting the central hub harvest either the metadata for theses or the full content. More information about the different levels of participation can be found in participation options section.

Listed below are some general factors that should be considered when deciding on this option:

Setup Options

Setting up an institutional repository involves the selection and installation of repository software. See the 'Guide to setting up a new repository' for more information about the choice of repository software and how to install it. Depending upon the technical support available in your institution, you can choose to use your own technical staff to set up a repository or opt to buy in the service from a commercial organisation (N.B. This toolkit is aimed at providing you with enough information to setup a repository on your own).

Staffing

When deciding to set up and institutional or consortium repository, it is important to ensure that adequate staff time and skills are available initially and on an ongoing

basis. The 'Guide to setting up a new repository' illustrates the work that is involved in setting up a repository and the skills that are needed to maintain it.

Advantages

- **Speed:** you will be able to upload content to the repository at any time. This will allow you to make your content available online quickly.
- **Preservation:** you can preserve your content in both your institutional repository and the central hub repository if you decide to provide full content to the central hub.
- **Multipurpose use:** you can make multipurpose use of your repository by storing other digital content, such as staff publications, working papers, etc. along side your e-Theses. This will allow more visibility for your other research work.
- **Enhanced dissemination:** the content of your repository may be harvested by other content providers. This will allow further dissemination of your research output.

Disadvantage

- **Impact on Search:** If you choose to provide only metadata to the central hub, you will not be able to benefit from the full text searching of your e-Theses by users of the central hub interface.

Use the central hub repository

Due to the limited technical infrastructure available and the low volume of the e-theses produced in your institution, it may not be feasible for you to set up your own institutional repository. In which case, you may wish to use the EThOS central hub repository for the preservation and dissemination of your e-theses.

The following factors should be considered while deciding on this option.

Set up Options

This is not applicable to individual institutions as the central hub is the responsibility of the British Library.

Staffing

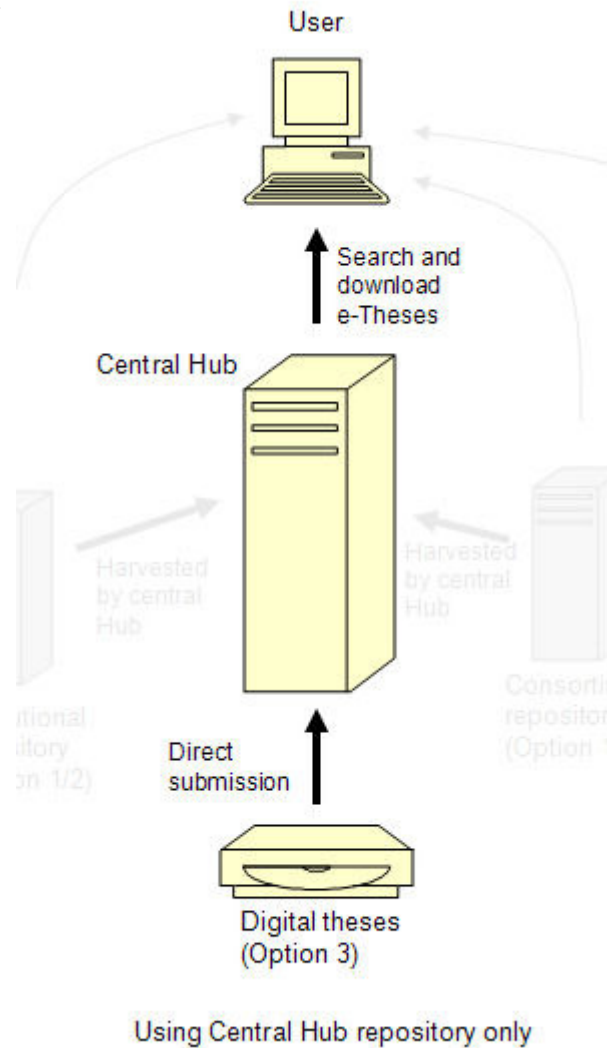
It is important to allow adequate staff time to participate in EThOS. Although the amount of time needed is significantly lower if participation does not involve establishing an institutional repository, there is work initially (e.g. obtaining approval and funding within the institution and changing e-theses submission regulations) and on an on-going basis (e.g. assigning metadata and liaising with the British Library).

Advantage

- **Cost:** No set up cost involved
- **Staffing:** Does not require technical staff to be appointed to undertake maintenance
- **Impact on Search:** Full text searching will be possible from the central hub interface resulting in better dissemination of your e-theses
- **Preservation:** The central hub will make sure that your content is securely preserved

Disadvantage

- Speed: The central hub may require some processing time before it can make your e-theses available online.
- Theses only repository: The central hub will only store theses and will not store other types of research output from your institution. However, for these other materials, you might consider making use of [the Depot](#) service.



Assigning Metadata

One of the objectives of the EThOS project was build on the work of the earlier JISC funded 'Electronic Theses' project to recommend a metadata set that is generic enough to describe the e-theses produced in UK institutions and also contains fields which will enable the successful harvesting of them by the EThOS central hub. The outcome of this objective is a metadata core set called UK Electronic Theses and Dissertations qualified Dublin Core (UKETD_DC). The following table, which shows all

the fields in the UKETD_DC, is an extension to the widely used simple [Dublin Core](#) (DC) metadata standard. It contains several additional EThOS specific fields.

- [UKETD_DC: The metadata core set recommended by EThOS](#)

More detailed, technical information on the uketd_dc xml schema and namespace can be found in the appendix - [UKETD_DC Application Profile](#).

While, some of these fields are automatically populated by the system, most of them are either populated by students or by Library staff. Some of them may be populated by other university staff, such as supervisors or I.T. staff. The arrangements depend on the internal regulations of an individual institution.

Also, while, all of these fields are desirable, depending upon the internal regulations of an institution and the circumstances in which the research work was undertaken, it may not be possible to assign all of the fields to every thesis. However, it is recommended that an institution should make it mandatory to assign as many fields as possible. All of these fields will be maintained by the EThOS central hub and therefore as much detail as possible should be provided when supplying the theses content to the central hub.

In addition to the UKETD_DC fields, there are several extra fields that will be assigned and maintained by the EThOS central hub. These extra fields may be supplied to the institutions when they harvest EThOS central hub for their theses metadata and/or content. Some of these fields may also be shown to the researchers when they access the EThOS database.

One of the most useful fields amongst them is the '[EThOS persistent identifier](#)' field, which is a unique identifier assigned by the EThOS central hub to each individual item incorporated in the EThOS. The institution does NOT assign this identifier but, once the item has been loaded to the central hub, it can be used as a reference for the item on that system during communication between the institution and central hub administrators. Nonetheless, an institution can also maintain this field in their repository by harvesting it from the EThOS central hub, if they wish to do so.

Prioritising Digitisation

When considering e-theses, most people will think of electronically sourced material i.e. those theses which have been supplied to the Higher Education Institution (HEI) in electronic form, have been loaded to the institutional repository, and have been made available for electronic download. Indeed, the scope of most of the projects addressing e-theses worldwide are aimed at this format of material.

However, in the UK at the time of writing there are only, at most, a few hundred theses available in this manner. This is mainly because there are only a small number of institutional repositories with an infrastructure in place to support submission, marking and version control of e-theses. Of course, the EThOS project was sponsored by JISC to address this very issue and the service resulting from the project has developed material (including this toolkit) to aid the development of the institutional and national infrastructure.

By far, the bulk of theses written are currently stored at HEIs on paper and are taking up a considerable amount of space on library shelves. There are approximately 500,000 such works in existence dating back to 1730.

The British Library has been offering a national service with supply on microfilm or

copies printed to paper. 200,000 of the 500,000 theses mentioned above are held in this format.

When analysing usage of theses by date, the experience of the British Thesis Unit shows that 80% of theses supplied are from the last 13 years i.e. researchers are NOT just interested in very recent theses; they wish to access a body of work dating back over a decade and a half. In addition, there is evidence from usage of all materials at the British Library and from anecdotal information that researchers are looking at work undertaken several decades ago which could not be progressed at the time because of lack of computing power - power which is now available.

Finally, the definition of 'retrospective' is important. For the purposes of EThOS, 'retrospective digitisation' does not just apply to theses supplied on paper in the past! It includes theses supplied on paper into the future. It will take a number of years before all UK HEIs will have an institutional repository or the infrastructure to manage the submission of e-theses. Until ALL theses are supplied in electronic form there will be a requirement for 'retrospective digitisation'.

In order to meet the needs of researchers wishing to access UK theses, a facility which can retrospectively digitise paper theses and supply them in the format requested is required. The majority of theses supplied in the early years of the service are expected to be digitised from paper or microfilm. Without a retrospective digitisation function, access to UK theses would be severely curtailed and the impact of the EThOS project and subsequent service would be limited, access to the content of paper theses would be piecemeal and HEIs would need to supply the content themselves.

As mentioned in the participation options section, EThOS offers two routes to digitisation of theses:

1. Digitisation on demand, and
2. Digitisation projects

Digitisation on demand

EThOS will be able to inform a researcher of the current status of a thesis and its location when the researcher searches the database. A thesis can exist in 1 of 3 states:

- **On paper:** the thesis is held by an HEI and is sitting on a shelf in the HEI Library.
- **On microfilm and on paper:** the thesis is held by an HEI and is sitting on a shelf in the HEI Library but has been requested via the British Library British Thesis Unit at some point in the past and the microfilmed content is sitting on the shelf at The British Library.
- **Electronically:** either in an institutional repository or in the central hub - having been harvested, having been digitised at some point in the past, or having been supplied electronically to the central hub by manual upload via the EThOS Web Service.

If a researcher is interested in a thesis which is NOT already digitised, (s)he will be able to order the thesis for delivery after digitisation. The order will be routed automatically to the HEI or to the British Library store depending on the current storage format, and the service will digitise the thesis. Once digitised, the system will automatically notify the customer if download was requested or the Added Value processing unit in the British Library if Added Value services were purchased.

'On demand' digitisation will take priority for digitisation.

In this way, the most in demand theses will be digitised first and will be immediately available for subsequent Open Access delivery.

Digitisation project (How to prioritise theses for digitisation)

If on demand work permits, EThOS will offer HEIs (or other appropriate bodies) the opportunity to sponsor digitisation projects where the HEI selects the theses to be digitised.

Should an HEI wish to sponsor a digitisation project, a number of factors should be considered when deciding which theses to target. These may include:

Selection by Date

For clarity it may be easier to digitise theses by the year of submission - starting with either the most recent or the earliest. This approach might be the simplest if a large scale digitisation project is envisaged and if the ultimate goal is to make all of the institution's theses available in electronic format.

Selection by subject

If an institution wishes to promote its research output in a certain subject area, or researchers in a particular subject field are known to consult theses as source material, it may be worth targeting selected topics for priority digitisation. This approach may be particularly useful if there is a need to demonstrate that, in comparison to paper theses, the e-theses are accessed by large number and wide range of people.

Selection by school department

For ease of administration, in an attempt to focus on key subject areas, and to respond to academic staff who are supportive of the idea of making theses available on the Web, it may be constructive to prioritise work from particular departments. This approach may prove useful if there is significant variation in the level of enthusiasm for creating e-theses, and a need to encourage staff and students by example.

Selection by level of use

Statistics are usually available within institutions and from the British Library which show the particular thesis that have been much used to date. Where the paper versions have been heavily requested, it is likely that the electronic versions will receive an even wider readership. Selecting these theses for digitisation may be helpful where only a fixed number of titles can be prioritised initially, and where it is important to be able to demonstrate quickly that the time and finance involved in this activity has been well spent.

Selection by importance on-campus

When selecting theses for retrospective digitisation, the priority for most institutions is to publicise their research output and to make their research work more accessible globally. However, there are also valid reasons for considering on-campus demands as well. Supervisors may wish that current students can access examples of theses easily to gain an understanding of both the quality and the specific presentational aspects required by their own institution. Therefore, when selecting theses, it may be worth balancing the internal, education and training benefits of this exercise with the broader advantages to the institution as a whole.

In all cases, digitised theses can be supplied to the host HEI for loading on to their

institutional repository (or for other reasons). However, there may be an additional charge for this as EThOS resource will be required to prepare and deliver the theses.

It is important to note that the system will always prioritise 'on demand' work ahead of digitisation projects. The reason for this is that a researcher is likely to be waiting to use the results from a specific job. However, even if capacity is not available on the cost-recovery service offered by EThOS, the support team may well be able to identify experienced digitisation bureaux and may be able to offer assistance in getting digitisation work done efficiently and effectively to EThOS digitisation standards, so please contact the team if assistance is required.