AN INVESTIGATION OF ETDS AS PRIOR PUBLICATIONS
Findings from the 2011 Publishers’ Survey

NDLTD Prior Publications Working Group
Gail McMillan, Marisa Ramirez, Joan Dalton, Max Reed, Nan Seamans

14th International Symposium on ETDs
Cape Town, South Africa
Sept. 14, 2011
Why do another survey?

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

- Thompson Reuter’s Journal Performance Indicators (JPI), 2005-2009: Relative Impact Factor (RPI)
  - ~600 journal eds: 55 Social Sci, 27 Arts/Humanities categories
- ~130 American Association of University Presses directors
- May 16, 2010 - June 16, 2010
- SurveyMonkey

- 17% response rate
  - 75 journal editors
  - 53 university press directors
Manuscripts which are revisions derived from openly accessible ETDs are...

- Access restricted 3%
- Contents/conclusions substantially different 14%
- Never 4%
- Other 7%
- Considered on a case-by-case basis 27%
- Always welcome for submission 45%
University Press Policies/Practices: Manuscripts derived from openly accessible ETDs are…

- Case-by-case basis: 44%
- Always welcome: 10%
- If access limited: 7%
- If different: 27%
- Won't consider: 7%
- Other: 5%
Journal Policies/Practices: Manuscripts derived from openly accessible ETDs are...

- Always welcome: 66%
- If access limited: 0%
- If different: 7%
- Case-by-case: 18%
- Other: 6%
- Not Considered: 3%
Manuscripts which are revisions derived from openly accessible ETDs are...

<table>
<thead>
<tr>
<th>2011 Survey</th>
<th>All</th>
<th>Uni. Presses</th>
<th>Journals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Always welcome</td>
<td>45%</td>
<td>10%</td>
<td>66%</td>
</tr>
<tr>
<td>Case-by-case</td>
<td>27%</td>
<td>44%</td>
<td>18%</td>
</tr>
<tr>
<td>If very different</td>
<td>14%</td>
<td>27%</td>
<td>6%</td>
</tr>
<tr>
<td>If access restricted</td>
<td>3%</td>
<td>7%</td>
<td>0%</td>
</tr>
<tr>
<td>Never</td>
<td>4%</td>
<td>7%</td>
<td>3%</td>
</tr>
<tr>
<td>Other</td>
<td>7%</td>
<td>5%</td>
<td>6%</td>
</tr>
</tbody>
</table>
2011 Comments on the Prior Publication Question

- “Dissertations have *never* counted as publications… A pdf of an unpublished work is still an unpublished work.”
- “The American Psychological Association, which publishes over 40 journals across psychology, has an official policy that theses/dissertations, even if archived at a university site, are not counted as prior publication.”
A journal article is qualitatively different from a thesis, and must be structured with the needs of quite different readers in mind. All our submissions are subject to peer review, and frequently papers change in response to reviewer feedback. The fact that a paper grows out from an academic thesis is not a concern for this journal.

We do not consider the dissertation to be the equivalent of a book. It is student work; a book is professional work.

Prior availability through an IR is not usually the deciding factor. We are more interested in the quality of the work, how well it fits with our list, and whether it deserves wider dissemination and promotion.

I base my judgments on value added, as it were; i.e., whether there is sufficient original material to warrant space in the space limited environment of my journal.

2011 Publishers’ Comments re Quality
How do 2011 findings compare to previous surveys?

<table>
<thead>
<tr>
<th></th>
<th>2000 Dalton</th>
<th>2001 Seamans</th>
<th>2011 NDLTD WG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Always welcome</td>
<td>47%</td>
<td>33%</td>
<td>45%</td>
</tr>
<tr>
<td>Case-by-case</td>
<td>19%</td>
<td>29%</td>
<td>27%</td>
</tr>
<tr>
<td>If substantially revised</td>
<td>6%</td>
<td>6%</td>
<td>13%</td>
</tr>
<tr>
<td>If access limited</td>
<td>6%</td>
<td>0%</td>
<td>3%</td>
</tr>
<tr>
<td>Under no circumstances</td>
<td>4%</td>
<td>2%</td>
<td>4%</td>
</tr>
<tr>
<td>Other</td>
<td>19%</td>
<td>27%</td>
<td>9%</td>
</tr>
</tbody>
</table>
New Concerns about ETDs for Journal Editors and Academic Press Directors

- ETDs make author anonymity difficult.
  “Easy to determine who the author is and thus undermines the strength and reliability of peer review. This could, ultimately, disadvantage young scholars.”

- “I never thought about it until just now”…

- “We ask authors to stop distribution of their ETD when we agree to publish their REVISED material.”

- ETDs include already published articles.
Advice to Graduate Students based on the 2011 publishers’ survey

Submit works based on your ETDs.
- 96% of publishers will consider them.
- Quality is the publishers’ main concern.
- Adapt them for a new audience.
- Peer review is radically different.