

Cover Sheet for Proposals	JISC Capital Programme: DIGITISATION
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<b>Name of Lead Institution:</b> British Library	
<b>Name of Proposed Project:</b> Digital Islam: Theses On EThOS (DITO-EThOS)	
<b>Name of Project Partners:</b>	
<ul style="list-style-type: none"> <li>• Imperial College London</li> <li>• University of Birmingham</li> </ul>	<ul style="list-style-type: none"> <li>• University of Glasgow</li> <li>• University of Exeter</li> </ul>
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<b>Length of Project:</b> 6 months	
<b>Project Start and End Dates:</b>	
<b>Start:</b> 1 June 2009	<b>End:</b> 30 November 2009
<b>Total Contributions from Bidder(s):</b> Nil	
<p><b>Outline Project Description:</b> The Digislam Project was established to carry out a review of user requirements for digitised resources for researchers and teachers within higher education working in the field of Islamic Studies. The project report identified PhD theses as an area of significance.</p> <p>The Digislam team have made available their data on theses to the 'Electronic Theses Online Service net' (EThOSnet) project. The data includes details of all PhD theses in the area of Islamic Studies carried out within the UK during the period 1997-2006. This data was drawn from the <i>Index to Theses of UK and Ireland</i> database. A total of 860 theses have been awarded during this period. Nearly half of this figure was awarded by ten universities.</p> <p>The Digislam Project made the following recommendation in relation to the availability of UK theses in the area of Islamic Studies:  <i>To aid scholarship and to make research material widely available, JISC should consider a retrospective digitisation project for UK PhD theses in Islamic Studies awarded in the past ten years (excluding those already available online). Priority could be given to those areas considered most important in Islamic Studies, as defined by the questionnaire responses. It is further recommended that institutions that have not mandated e-theses should give priority to Islamic Studies PhD theses to be digitised and submitted to EThOSnet.</i></p> <p>One of the major deliverables of the EThOSnet project was a fully-functioning digitisation suite based at the British Library in Boston Spa.</p> <p>The aim of the Dito-EThOS project will be to use this equipment and the British Library's expertise to digitise the 860 identified Islamic PhD theses on a cost recovery-basis. These theses will then be made available via the EThOS service and supplied back to the originating UK HE institution should they wish.</p>	
<b>I have read the Circular and associated Terms and Conditions of Grant at Appendix B (please delete as appropriate)</b>	<b>YES/NO</b>

## 1. Introduction

This proposal for the Digital Islam: Theses On EThOS (DITO-EThOS) project is submitted and lead by the British Library in partnership with University of Birmingham, University of Glasgow, University of Exeter and Imperial College London.

## 2. Executive Summary

### 2.1. Background

The DigilIslam Project was established to carry out a review of user requirements for digitised resources for researchers and teachers within higher education working in the field of Islamic Studies. The DigilIslam project report identified PhD theses as a significant resource.

The DigilIslam team have made available their data on theses to the 'Electronic Theses Online Service net' (EThOSnet) project. The data includes details of all PhD theses in the area of Islamic Studies carried out within the UK during the period 1997-2006. This data was drawn from the *Index to Theses of UK and Ireland* database. A total of 860 theses have been awarded during this period. Nearly half of this figure was awarded by ten universities.

The DigilIslam Project made the following recommendation in relation to the availability of UK theses in the area of Islamic Studies:

*To aid scholarship and to make research material widely available, JISC should consider a retrospective digitisation project for UK PhD theses in Islamic Studies awarded in the past ten years (excluding those already available online). Priority could be given to those areas considered most important in Islamic Studies, as defined by the questionnaire responses. It is further recommended that institutions that have not mandated e-theses should give priority to Islamic Studies PhD theses to be digitised and submitted to EThOSnet.*

### 2.2 Aims and Objectives

DITO-EThOS aims to digitise the 860 doctoral theses sourced from UK HEIs identified by the JISC funded 'Review of User Requirements for Digitised Resources in Islamic Studies'.

The project will run an initial feasibility study to test whether the 860 identified theses are available for digitisation and, if not, how the allocation may be delivered from other related theses (e.g. theses awarded outside the 10 year period). [JISC may withdraw or reduce funding for the digitisation if the feasibility study shows a significant reduction in the number of theses to be digitised.](#)

DITO-EThOS will use The British Library digitisation suite and experience to digitise the identified Islamic PhD theses on a cost recovery-basis and to make them available via EThOS and the proposed National Gateway to Islamic Resources.

### 2.3. Benefits

The project offers the following benefits:

1. Access for the community to targeted material from a primary research resource;

2. The Digilslam project delivers 860 Islamic PhD theses searchable and downloadable via a national service and the National Gateway to Islamic Resources. Further benefits of involvement in EThOS can be found [here](#).
3. Lower digitisation costs. EThOS operates on a cost-recovery basis;
4. The EThOS service acquires an additional 860 full-text theses available for immediate download,
5. The identified theses will be preserved by The British Library, as described in the [Digital Preservation Statement for UK Theses Digitisation Project / EThOS](#)
6. Knowledge transfer, lessons learned and solutions developed during the [UK Theses Digitisation Project](#) applied to the DITO-EThOS project.
7. Use of The British Library's established network of contacts with UK HE Institution's thesis services.
8. Institutions do not pay for digitisation of the identified theses and have theses returned for loading to their Institutional Repository;
9. Broadens accessibility – experience with EThOS and across the world shows that a digitised thesis is accessed orders of magnitude times more than a paper thesis.
10. Promotes the adoption of standards compliant digitisation by applying standards developed as part of the EThOS project digitisation workpackage and the UK Thesis Digitisation Project, metadata by associating the digitised theses with UK ETD qDC standard metadata held by EThOS, interoperability by applying already developed standards.
11. Supports The British Library in fulfilling its role as the national library of the UK.
12. Supports JISC in fulfilling its role in supporting UK HE.

## 2.4. Support of JISC Programme

Digitisation of UK Theses and offering them via the EThOS service will support the aims and objectives of the JISC Capital Programme: Digitisation by:

- Enabling all Researchers regardless of location to search for, identify and access digitised UK theses related to Islam. The EThOS service offers immediate download of a digital thesis to the researcher's desktop.
- Returning digitised theses to the awarding HEI for loading to their own Institutional Repositories (where applicable). Making digitised theses available for the first time for institutions which don't have their own Institutional Repository.
- Enabling learners, teachers and researchers of Islamic Studies to use and re-use the digitised theses by offering Open Access to all users.
- Offering a sustainable business model supporting long-term accessibility to the theses.
- Offering 'Added Value Services' including printing of the thesis and supply as loose-leaf, soft- or hard-bound volumes and burning the thesis to CD/DVD. By sourcing surrogates from the electronically stored copies, the original paper theses will be accessed less frequently and so will be better preserved.

The total project budget requested via this bid is £76,400. See budget section for further explanation and breakdown of costs.

## **3. Project Description**

### **3.1 The Collection**

The project aims to digitise the 860 doctoral theses identified by the JISC funded 'Review of User Requirements for Digitised Resources in Islamic Studies' and sourced from UK HEIs.

This aim may be modified depending on the following factors:

- Participation of the awarding institution in EThOS. All awarding institutions identified in the study will be approached but some may decline to participate.
- Clearance of IPR issues with thesis authors and 3<sup>rd</sup> party copyright holders where the awarding institution feels this is appropriate. Where rights are NOT cleared to the satisfaction of the awarding institution, the thesis will NOT be digitised as part of this project.

Should the listed factors result in a reduction in the number of theses to be digitised, the project will:

- Extend the time period covered – first by considering theses submitted post 2006 and then by considering theses submitted prior to 1997 (the time period of the study)
- Broaden the selection criteria

Involvement of the UK HE partners and, if appropriate, broader groups from the Islamic Studies community will be needed for advice, guidance and support.

### **3.2 Relation to previous work**

Digitised theses will be made available via the EThOS service which has been developed by the EThOSnet project, a project jointly funded by JISC, RLUK, The British Library and the EThOS HEI partners ([www.ethos.ac.uk](http://www.ethos.ac.uk)). The EThOS service went live in early 2009.

The British Library also led on a much larger JISC funded digitisation project – the UK Theses Digitisation Project: ([http://www.ethos.ac.uk/012\\_UK\\_Theses\\_Digitisation\\_Project.html](http://www.ethos.ac.uk/012_UK_Theses_Digitisation_Project.html)). This project has digitised 9500 of the most popular thesis records to 'seed' the EThOS service.

The DITO-EThOS project will use the experience gained and lessons learned from the UK Thesis Digitisation Project to digitise theses identified for DITO-EThOS and will load the resulting digitised theses to the EThOS service.

### **3.3 Collection importance**

In June 2007, the UK Government designated Islamic Studies a strategically important subject. This proposal is developed as a result of a JISC commissioned review of user requirements for digitised resources for researchers and teachers within higher education working in the field of Islamic Studies delivered in December 2007.

UK postgraduate theses are a very important source of primary research output and JISC has committed substantial funds to promote the development of e-thesis initiatives throughout the country and over a number of years. EThOS is a direct outcome of these initiatives.

UK theses as a whole are important to various groups of users for different reasons:

- HE postgraduates to support greater visibility of their research output.
- HE teaching and research staff to support greater visibility of their student's graduate research output
- HE teaching and research staff to support enhanced use of graduate research output in teaching.
- HE undergraduates and life-long learners to support enhanced use of graduate research output in learning programmes.
- HE postgraduates, teaching and research staff to support identification of the 'uniqueness' of a proposed piece of primary research.
- HE postgraduates, teaching and research staff to support those developing thesis proposals and the theses themselves to identify source material and references.
- Non-HE based Researchers to support identification of the value, variety and richness of UK research.
- Non-HE based Researchers to encourage investment in UK HE and to identify areas of expertise of different UK HEIs.
- All Researchers to help avoid duplication of research and the consequent wasted effort and reduction in the rate of research.

DITO-ETHOS addresses the requirements of both constituencies.

### ***3.4. Approach to digitisation, resource discovery and collection building***

#### **3.4.1 Digitisation**

The British Library has built a digitisation suite at its Boston Spa site partly funded by the EThOS business model. Here, theses ordered on demand by EThOS users are digitised and made available via the system. The digitisation suite is also used to digitise material for other JISC-related projects such as Newspapers.

The project will use the British Library Digitisation Suite and team. The theses will be digitised to meet digitisation standards recommended by the EThOS Project and those used by the British Library for supply of other types of digitised material.

#### **3.4.2 Resource Discovery**

Resource discovery, ordering and delivery will be via the live EThOS service. As the theses will be digitised by the DITO-EThOS project, access to them will be open access download to the researcher's desktop.

The project will also make thesis records available to the National Gateway to Islamic Resources and will investigate options for linking the systems so that a researcher discovering a thesis of interest via the National Gateway can link to equivalent record on the EThOS service and can go on to gain access to the thesis. The researcher will need to register and log in to EThOS to gain access to the thesis.

### 3.4.3 Scope and boundaries

The proposal is for £76,500.- this figure has been arrived at following the guidelines advised in the call for proposals. All of this figure will be used to support the DITO-ETHOS project. Higher Education Institutions which contribute theses will cover their own staff costs for retrieval and supply of the theses and the transport costs of theses to the British Library.

Digitised theses will be offered to the originating institution for storage on their Institutional Repository or other location using methods developed by the ETHOS project. Those institutions without the means to securely store digitised theses will be able to have them supplied at a later date if the capacity is developed.

### 3.4.4 Access

ETHOS supports Open Access to digital theses by allowing download of theses held by the system direct to the researcher's desktop.

ETHOS was developed over a period of 4 years and included not only a centralised national service but also a major set of resources to support institutions in their move to e-theses (the ETHOS toolkit). The toolkit offers information on the service but also advice on issues such as changes in procedure, Intellectual Property Rights, standards and technical support. It also explains the business model and how ETHOS offers a sustainable financially viable service.

Offering access via ETHOS avoids duplication of development and means consistent service for all researchers accessing theses.

## 3.5. Risk Analysis

Risk	Probability (1-5)	Severity (1-5)	Score (P x S)	Action to Prevent/Manage Risk
British Library does not deliver digitised theses	3	5	15	The BL digitisation is established and working. However, due to the popularity of the service, there is a backlog of theses to be digitised. If the backlog is not cleared, DITO-ETHOS would exacerbate the problem. However, the BL is increasing capacity by buying additional scanners and introducing further shifts.
Relevant HEIs refusal to participate	2	4	8	The timescale for identified theses will be extended and, if appropriate, the selection criteria broadened. A large number of institutions identified already participate in ETHOS. The project will also support institutions in gaining author permissions.
Staffing	2	2	4	The British Library has a large number of staff with the appropriate skills to meet the administrative requirements of the project.

Organisational	2	2	4	The project manager is experienced and has been closely involved with 3 JISC projects including EThOS, EThOSnet and the UK Thesis Digitisation Project.
Financial	2	2	4	EThOS and the UK Thesis Digitisation Project have delivered detailed metrics on the cost of digitising theses and these metrics will be apply to DITO-EThOS. Administrative costs will be at a fixed price and will not exceed the quoted project budget.
Technical	2	2	4	The technical infrastructure for storage and delivery is developed (EThOS) and the digitisation standards and data transfer methods are tried and tested by the BL.
Legal	3	4	12	The EThOS project is addressing the legal aspects of collecting, digitising and making this type of material available. More information can be found on the EThOS Toolkit: <a href="http://ethostoolkit.cranfield.ac.uk/tiki-index.php?page_ref_id=21">http://ethostoolkit.cranfield.ac.uk/tiki-index.php?page_ref_id=21</a> 97 institutions participate in EThOS.

The project is **low risk** with appropriate mitigation for all risks built into the project structure. [Mitigation includes ending the project at the end of the Feasibility Study.](#)

## 3.6. Standards

### 3.6.1 Digitisation standards

- Scanning at 300 dpi. This is the CAPTURE figure.
- Individual page images to be saved as .tiff
- Compression of tiffs with LZW (lossless compression)
- Colour pages to be held as 24 bit tiff images
- Grey scale pages to be held as 8 bit tiff images
- Black and white pages to be held as 1 bit tiff images
- Multi-page pdfs with hidden text generated from the 24 bit, 8 bit and 1 bit tiff images

### 3.6.2 Data Transfer structure and naming convention

The naming convention for data transfer and subsequent storage on the EThOS system is well defined and was used successfully for the UK Thesis Digitisation Project.

### **3.6.3 Metadata**

Descriptive metadata will be held on EThOS and the British Library Catalogue. Many of the records for the 860 identified theses are already available on EThOS as a result of the BL's past and present thesis services. Any not available will be added.

Technical metadata is defined for EThOS and is in practical use on the live system.

### **3.6.4 Preservation**

Digitisation projects conducted at the BL must pass through the Digitisation Approvals Process which provides a set of guidelines and requirements to ensure digitisation projects are conducted to a sufficient standard.

The longevity of the BL's digital collections and digital assets and the maintenance of continued access to them is a critical part of the British Library's strategy. Key staff from the Digitisation Programme, the Digital Preservation Team and eIS/Operations are tasked with ensuring the longevity of the outputs of digitisation activities. This includes assessment, verification, the inventory of metadata, media checking and refreshment, and storage at multiple geographical locations.

With the recent establishment of a new digital preservation team and the ongoing development of a state of the art, distributed digital repository under the Digital Object Management Programme, the BL is aiming to provide an even higher degree of confidence in the provision of long term digital preservation. The digital masters from the UK Thesis Digitisation Project will ultimately be stored in this new digital repository which will ensure preservation by:

- Storing multiple copies of each digital object in different physical locations and utilising backups and integrity checking to ensure that no data is lost
- Characterising and validating each digital object in order to determine requirements for its preservation.
- Recording metadata about each digital object and allocating unique, persistent identifiers
- Developing and executing preservation plans
- Implementing a comprehensive technology watch mechanism to provide warning of the need to take preservation action.

### **3.6.5 Accessibility**

The EThOS service uses an interface originally designed and still in use for the search, order and delivery of e-journals and conference papers. The interface conforms to British Library standards for accessibility and design. All British Library web resources aim to meet W3C accessibility standards level AA and all British Library applications aim to meet best practice in usability of web resources. All major web developments are subject to lab based usability testing.

In terms of the theses themselves, supply of pdfs with hidden OCR'd text offers opportunities for those Researchers with visual impairment to use software to improve accessibility e.g. to increase the display size or use text reading software. The British Library has, on request, supplied digitised theses for those with visual impairment in exactly the format that these standards specify, with adequate results.

### **3.6.6 Compliance with the JISC Information Environment**

The requirements specified by the JISC Information Environment are addressed by the EThOS project, which is offering access, storage and delivery functionality for the digitised theses. EThOS conforms with the requirements of the JISC Information Environment.

### **3.6.7 Compliance with MINERVA Digitisation Guidelines**

The images delivered will meet the MINERVA digitisation guidelines.

## **3.7. Quality Assurance**

3.7.1 The project will ensure quality deliverables in the form of digitised theses as follows:

- Each thesis will be examined immediately after digitisation and whilst in 'post processing'.
- Number of theses digitised – the 860 theses identified for digitisation will form the baseline for the project. Should the number deviate from this figure, total project funding will be re-assessed. Once the total cost of the project based on the number of theses to be digitised is calculated, the price per thesis will be calculated. Any deviation from the number to be digitised will be adjusted by the calculated figure per thesis.
- Number of pages per thesis – the average number of pages per thesis is around 370. This average will be used to calculate costs.
- Pdf pages versus tif pages – a random sample of every batch will be tested to ensure that the pdf returned has the same number of pages as there are tif page files for the same thesis.
- Quality of scanning – each thesis will be tested to ensure that the tifs and the pdfs have been scanned at the specified scan quality.
- Colour – a random sample of digitised theses in each batch will be compared with the original thesis for colour scanning of the appropriate thesis pages.

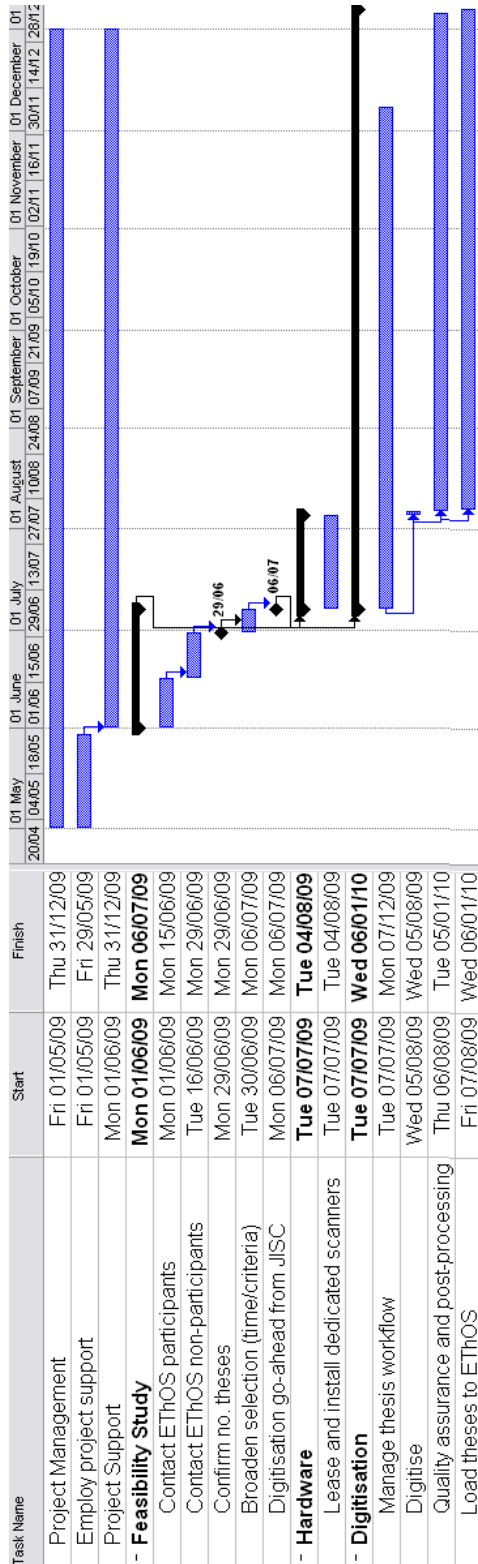
3.7.2 Although a limited amount of the quality checking can be done by computer (tif page counts, file sizes, etc.) much of the checking must be done by human eye. British Library Digitisation Unit staff are very experienced at the quality checking of scanned theses as a result of their work in the digitisation studio in general and with theses in particular.

## **3.8. Copyright/Intellectual Property Rights**

Copyright and Intellectual Property Rights for theses identified for DITO-EThOS are exactly the same as for all other theses offered via EThOS. Appendix B addresses these issues.

Theses digitised by this project will be available Open Access to all Researchers.

### 3.9. Project Plan



The Project Plan shows seven months with the first month required for identifying a Project Support Officer.

The Project Support Officer will be employed for six months of the active project to administer the day-to-day running of the project and the following specific tasks:

1. Run the feasibility study where the awarding institutions are contacted and inclusion of their theses confirmed (or otherwise)
2. Identify the number of theses from the 860 identified which will be digitised
3. Manage the process of broadening the selection criteria.
4. Manage the workflow of theses from institutions to the digitisation studio and their return to the institution.
5. Assist institutions in clearing author permissions for inclusion (where applicable)

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Should the project end at the end of the Feasibility Study, the Project Support Officer will return to their regular British Library post.

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### **3.9.1 Sustainability planning**

A viable and sustainable business model for the EThOS service has been developed and is in full operation on the live system.

### **3.9.2 Partnership agreements**

3.9.2.1 The HEI partners listed on the cover sheet include those from the EThOSnet project who will assist in delivering DITO-EThOS. The University of Exeter is not an EThOSnet partner but developed the initial review and used their expertise to identify the 860 theses. Exeter will be a major contributor of theses to the project and will also specifically apply their expertise should the selected thesis set need broadening.

Partner institutions will NOT contribute to funding of the project other than the staff time required to retrieve theses from their library, postage, packing and despatch to the British Library, and re-shelve theses post-digitisation i.e. exactly the same as all participating institutions. In addition, staff time and expertise will be contributed to help broaden selection of theses if necessary.

In addition, there will be 'informal' partnerships with HEIs contributing theses to this project.

### **3.9.3 Delivery infrastructure**

The project delivers digitised theses in two formats:

- pdfs with hidden OCR'd text support access and delivery to the Researcher. The files will be made available for searching, ordering and delivery from the EThOS service technical infrastructure and supporting services.
- tifs will be stored on British Library preservation systems specifically developed for the safe storage of e-born and digitised material.

## **4. Key Personnel**

### **4.1 Anthony Troman – Project Manager**

Anthony is a project manager qualified to PRINCE2 Practitioner level with 20 years practical experience of successfully delivering projects in a library environment and beyond. He has worked for 16 years at the British Library developing systems including full UKMARC bibliographic cataloguing, acquisition and access. He was workpackage leader on 3 of the 8 EThOS project workpackages (Central Hub development, Digitisation and Business Model) and managed the development of the EThOS Central Hub from prototype to fully live system. He project managed the UK Thesis Digitisation Project to successful completion. He sat on the EThOS Project and Advisory Board and the EThOSnet Project and Advisory Boards.

### **4.2 Carol Burton – British Library EThOS Admin Team Manager**

Carol Burton has worked at the British Library for 15 years, managing the British Library Thesis Unit for the last year of its service. She successfully managed the transition of Thesis Service support into the fully live EThOS service. Carol will act in an advisory role to the Project Support Officer on DITO-EThOS.

#### **4.3 Linda Grant – British Library Digitisation Studio Manager**

Linda Grant has worked at The British Library for 15 years. She has worked in numerous departments and has managed the Digitisation Suite since its launch. She is therefore directly involved in the digitisation of theses, has developed workflow and technical procedures and manages the team which undertakes the digitisation of theses for the live service.

## **Appendix A – - Potential thesis suppliers and numbers**

### **Institute Theses**

Aberdeen 7  
Dundee 2  
Aston 1  
Birmingham 81  
Bradford 7  
Brighton 1  
Bristol 4  
Brunel 9  
Cambridge 40  
Central England 4  
Central Lancs 1  
Coventry 6  
De Montfort 4  
Derby 4  
Dundee 9  
Durham 26  
East Anglia 5  
East London 1  
Edinburgh 30  
Essex 9  
Exeter 18  
Glamorgan 3  
Glasgow 14  
Glasgow Caledonian 6  
Gloucestershire 1  
Greenwich 2  
Heriot-Watt 1  
Huddersfield 6  
Hull 15  
Keele 6  
Kent 19  
Kingston 1  
Lancaster 4  
Leeds 30  
Leicester 5  
Limerick 2  
Lincolnshire and Humberside 1  
Liverpool 4  
Liverpool John Moores 1  
London Metropolitan 2  
London, Birkbeck College 3  
London, External 1  
Goldsmiths College 3  
London, Heythrop College 1  
Imperial College 2

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5.1 Feasibility Study¶  
Budget Item

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London, Institute of Education 1  
King's College 6  
London, LSE 18  
London School of Hygiene 2  
London, Queen Mary 1  
London, Royal Holloway 2  
Royal Holloway 4  
SOAS 49  
London, University College 15  
Loughborough 14  
Luton 1  
Manchester 22  
Manchester Metropolitan 6  
Middlesex 1  
New University of Ulster 1  
Newcastle upon Tyne 16  
Nottingham 13  
Nottingham Trent 6  
Open University 6  
Oxford 43  
Oxford Brookes 2  
Paisley 2  
Portsmouth 4  
Queen's University Belfast 9  
Reading 3  
Salford 3  
Sheffield 17  
Sheffield Hallam 2  
South Bank 1  
Southampton 11  
Southampton Institute 1  
St. Andrews 17  
Stirling 2  
Strathclyde 5  
Sunderland 4  
Surrey 12  
Sussex 13  
Trinity College Dublin 2  
Ulster 1  
University College, Dublin 3  
University of London 1  
Wales 3  
Wales, Aberystwyth 8  
Wales, Bangor 2  
Wales, Cardiff 22  
Wales, Lampeter 35  
Wales, Swansea 4  
Warwick 20  
West of England 2  
Westminster 12

Wolverhampton 2  
York 6  
Grand Total 860

## **Appendix B - Intellectual Property Rights considerations**

B.0.1 The EThOS project included a workpackage which examined the Copyright and IPR issues surrounding these. The information in this appendix is taken from presentations and reports produced by the EThOS project. It is important to note that the workpackage was led by a UK HE representative and the reports were produced by the same person. Expert advice has been taken from British Library legal representatives and Charles Oppenheim has been asked to comment on the findings. The EThOS Project Board has signed off the IPR report and recommendations.

B.0.2 IPR issues arise because the aim is to offer an up-to-date service which meets the needs and expectations of 'Google generation' users i.e. rapid identification, location and supply of information, including immediate download. Into the future, should the service be taken up and offered by The British Library on behalf of UK HE, it is hoped that Institutions will amend thesis submission rules and documentation to allow authors to specify whether they are happy for their work to be distributed via the Institutional Repository and the EThOS service. Until ALL Institutions do this, the risks and issues addressed by this Appendix will apply.

B.0.3 In considering the risks and issues it should be remembered that at the moment there are circa 500,000 paper theses in existence WITHOUT permissions to allow digitisation and, in the vast majority of cases, no up-to-date contact details for the authors.

B.0.4 IPR risks primarily come from two sources:

1. Author IPR – the author of the thesis holds the IPR in most cases. *[Note that in some cases the institution claims the copyright – it is not clear whether this would be upheld if the author objected and challenged this assertion]*
2. 3<sup>rd</sup> party IPR – many theses contain material taken from previously copyrighted items.

### **B.1 Author IPR**

B.1.1 UK Copyright law clearly states that to retrospectively scan a work without consent is a breach of copyright. Based on losses to the copyright owner, the further dissemination of these scanned works would certainly raise damages in any action. Ominously, there is also a provision in copyright law which can be used when assessing damages which looks to the flagrancy of the breach. The initial recommendation from the EThOS project was that the EThOS service should be an "Opt-in" service i.e. the author's permission should be sought before the thesis is digitised, stored and made available via the EThOS Central Hub.

B.1.2 However, the "opt-in" scenario would be extremely problematic for a future central hub service, in that:

1. The time it takes to seek out the author to obtain his/her permission would be prohibitive for the delivery times of the thesis to the customer. In the current service where this has to be done, delivery times can be up to 6 weeks.
2. Staff time and other operational costs make this very expensive and therefore untenable

B.1.3 In practice, then, the EThOS service will actually put in place an ‘Opt-out’ service where an author can specify that, if they find their thesis made available via the EThOS service, the thesis is removed immediately.

B.1.4 Charles Oppenheim was asked to comment on the level of risk that this approach might offer and suggested the following formula to calculate it:

$$R = A * B * C * D$$

Where **R** is the financial risk,

**A** = chance of infringement

**B** = chance of awareness

**C** = chance of action

**D** = is the financial cost

A.1.5 Looking at each of these in turn,

**A** is 1 (i.e., 100%) – there can be no doubt that scanning the entire dissertation is infringement.

**B** will not be particularly high. Many authors of theses will not be aware of the EThOS service, or it won’t occur to them to search it. Others may be pleased. Assume 0.1 (i.e., 10%)

**C** is likely to be a similar figure. The majority of thesis authors will probably be quite flattered that their work is of potential interest. Assume 0.1 as well.

**D** is potentially a high number. The basis of any legal action will be the money saved by EThOS in adopting this approach, which a judge would set at a reasonable royalty fee, for a thesis this would probably not be high, but let us assume £500. EThOS would also have to pay legal fees, which could be very high – say £50,000. Indeed, there is a strong argument that no case should ever go to Court, but that if sued, EThOS should immediately offer to make amends and should have a contingency fund set aside for these circumstances. Nonetheless, even here, some legal fees may have to be incurred. So let us say the typical legal costs would be £2,000. No calculation can be realistically made for loss of reputation, so let’s ignore that factor.

B.1.6 Thus **R** for any given thesis is  $1 \times 0.1 \times 0.1 \times 2,500$ , or **£25**.

B.1.7 In the case of author IPR the following risk management strategies will be adopted by the EThOS service on the advice of the EThOS project:

Strategy	Description	Accept/Reject
Acceptance	The risk of an author taking action against the service are known and are considered low. The impact is also comparatively low.	Accept
Prevention	Adopt an opt-in service	Reject
Contingency	Implement a rapid ‘notice and takedown’ policy i.e. if an author objects to the thesis being made available	Accept

	remove the thesis	
Transference	Take out an insurance policy	Accept – to be investigated further
Reduction	Engage opinion, publicity and marketing.	Accept

### **Appendix C – Management Structure**

C.1 The management structure of this project will be kept simple to reflect the relatively simple nature of the project.

C.2 The Project Board will consist of 3 members:

- 1 member from The British Library management team responsible for the Thesis Service
- 1 member from JISC as funders of the project
- 1 member drawn from the Institutional partners
- [Note: suggestions for further membership will be accepted but it would be preferable to keep the Project Board small so that decisions can be effectively made]

C.3 The senior British Library manager on the Project Board will be designated Senior Responsible Officer for the British Library elements of the work and will be directly responsible for the delivery of that work.

C.4 In addition, the British Library will appoint a 'champion' for the project who will be at Director level and will sit on the British Library Executive Team.

C.5 Project Manager will be Anthony Troman with day-to-day management of the collation of theses from institutions and distribution to originating institution undertaken by THE Project Support Officer.

C.7 The Project Board will be kept up to date with progress via regular reports. Meetings will not be required while progress is good, but the Project Board may need to come together for key points e.g. project start-up, progress meetings if exceptions (i.e. delays) occur, project sign-off.

## 5 Budget

### 5.1 Feasibility Study

Budget Item	Unit	Unit Cost	No. Units	JISC Contribution 2009/10	BL Contribution 2009/10	Totals
Staff Costs						
Project Manager	BL Grade SB4	£50,000	50% for 1 mth	N/A	£2,083	£2,083
Project Support Officer	BL Grade D	£23,000	100% for 1 mth	£1,917		£1,917
Travel and Subsistence						
Broaden criteria meeting		£1,000		£1,000		£1,000
		<b>Totals</b>		<b>£2,917</b>	<b>£2,083</b>	<b>£5,000</b>

### 5.2 Full Project (including Feasibility Study)

Budget Item	Unit	Unit Cost	No. Units	JISC Contribution 2009/10	BLPartner Contribution 2009/10	Totals
Staff Costs						
Project Manager	BL Grade SB4	£50,000	50% for 6 mths0.25	N/A	£12,500	£12,500
Project Support Officer	BL Grade D	£23,000	100% for 6 mths0.5	£11,500		£11,500
Scanner operator	BL Grade E	£20,000	2 x 100% for 6 mths0.5 x 2	£20,000		£20,000
Post processing	BL Grade D	£23,000	100% for 6 mt0.5hs	£11,500		£11,500
Manager	BL Grade C	£35,000	2 x 10% for 6 mths0.1		£3,500	£3,500
IT staff	BL Grade B	£40,000	20% for 6 mths0.1		£4,000	£4,000
Equipment						
Scanner/software lease	Scanner & s/w	£10,000	2	£20,000		£20,000

Budget Item	Unit	Unit Cost	No. Units	JISC Contribution	BLPartner Contribution	Totals
Consumables					£100	£100
Travel and Subsistence Project meetings, Broaden criteria meeting, non-participant institution visits		£2,000		£2,000		£2,000
Postage & Packing Return of paper theses to University	Courier	£250	40	£10,000		£10,000
Return of paper theses to University	Post	£30	50	£1,500		£1,500
		<b>Totals</b>		<b>£76,500</b>	<b>£20,100</b>	<b>£96,600</b>

The Feasibility Study will require funding of £3,000.

It is assumed that the actual digitisation will take place over 5 months (100 production days) but preparation piloting etc will extend the total period to 6 months.

2 Zeutschel scanners will be leased specifically for the project and only for use on the project. This capacity, along with the experience and expertise gained by British Library staff will allow digitisation at the rate required to deliver 860 theses within the time period of the project.

Postage and Packing costs include transport for return of theses from The British Library to the supplying institution. Logistically it would be very difficult to charge these costs to the institution as it is hoped to combine courier visits to save overall cost. The British Library operates EThOS on a cost-recovery basis and charges nothing for download of a held e-thesis. Costs cannot therefore be reclaimed from the EThOS business model.