

Dissertations as Data

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00101111	01111000	01000010	01011110	11110000	01000110
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11101111	10010010	10010101	11011111	00100100	00101001
00110000	01010100	01010011	11101100	01100111	10111010
11101111	00010111	11010111	01001011	10111010	00011111
10010110	00001010	00010000	10011000	00111011	00100000
01101101	00000011	11001100	11001100	11001110	01111001
10001101	01100001	01011010	01010010	10111011	10010101

Overview

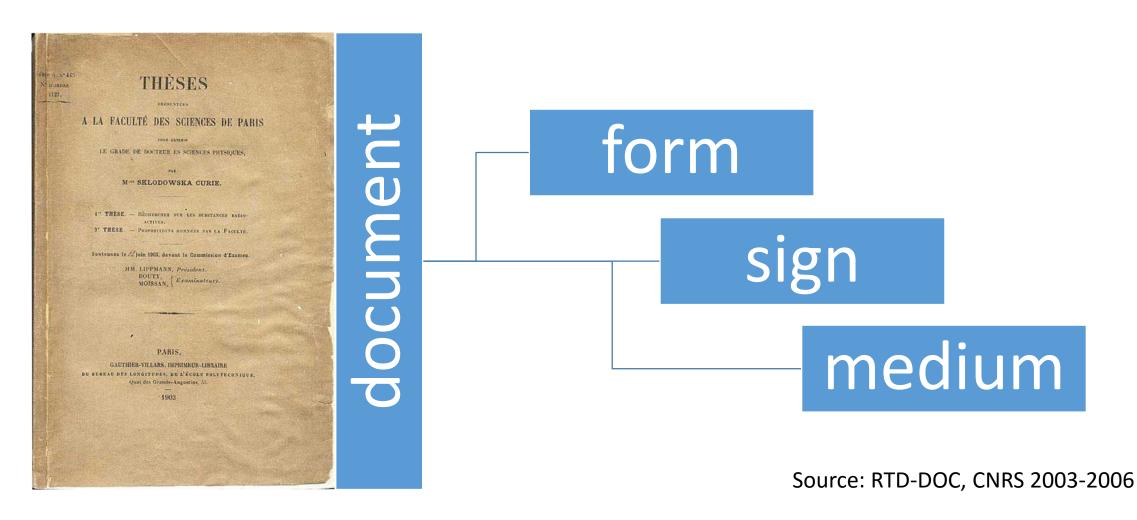
Conceptual approach and empirical application

- About dissertations
- Dissertations and data
- Dissertations as data
 - Examples
 - Barriers
- Concluding remarks

About dissertations

Three ways to describe a dissertation

Dissertation as a document

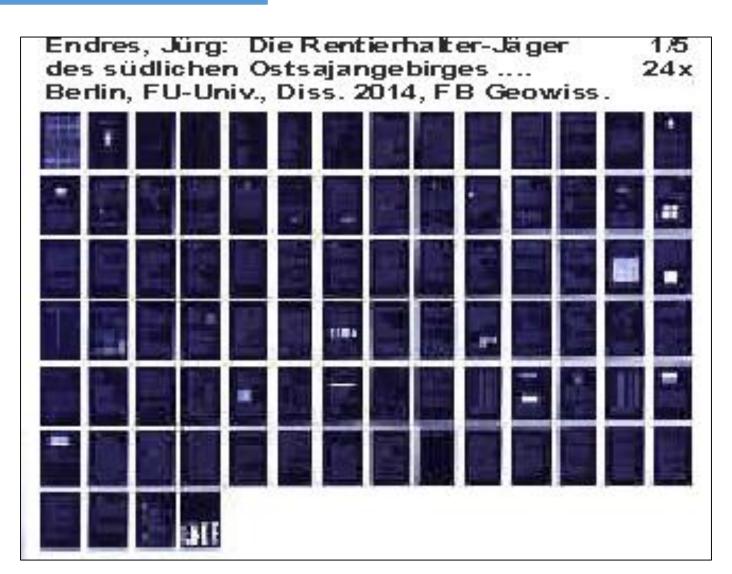


Dissertation as a

form

= an object whose materiality allows the users to use it and to manipulate it

- Format
- Media
- Structure
- Figures
- References
- Annexes, other material



Dissertation as a

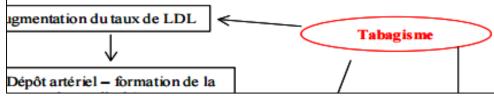
sign

= content, a semantic network of information, part of a collection

- Terminology
- Semantics
- Relevance
- Context of interpretation
- Knowledge

bagisme, la dyslipidémie et l'hypertension artérielle.

Parmi les facteurs de risque réversibles, le *tabagisme* est le plus fortement corrélé ave risque d'IDM [Yusuf et al. 2004]. Cette corrélation est d'autant plus importante que le suj jeune puisque 58% des IDM chez les hommes de moins de 40 ans sont imputables a [Cambou 2008]. Le tabagisme passif augmente également le risqu rdiovasculaire [Giannuzzi et al. 2005]. Sur le plan physiopathologique, la consommation d garettes va entraîner une augmentation du taux de LDL, ce qui induit une répons flammatoire qui augmente le risque de rupture de la plaque d'athérome, qui peut conduire thrombose [Ambrose et al. 2004]. Par ailleurs, le tabagisme induit une dysfonction dothéliale qui a pour conséquence une diminution du flux sanguin en augmentant sistance des artères à ce flux mais également en diminuant la vasodilatation induite par O [Ambrose et al. 2004]. L'accumulation de ces différents facteurs va augmenter le risqu IDM (Figure 9).



Dissertation as a medium

= a trace of social activities, a tangible element of communication between human beings, a social phenomenon

- Institutional character (legitimacy)
 - Prescription (format, content...)
 - Legal and administrative status
 - Process (deposit, preservation, dissemination...)
- Research project (scientificity)
 - Evaluation (impact)
 - Network (altmetrics)
 - Open science (outreach)
- Creative work (authorship)
 - Intellectual property
 - Competitive strategy (career)
 - Financial interests (publication, patent...)

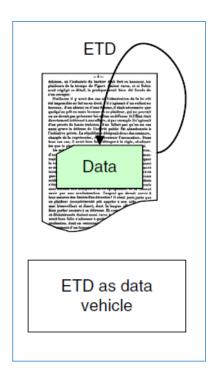


Dissertations and data

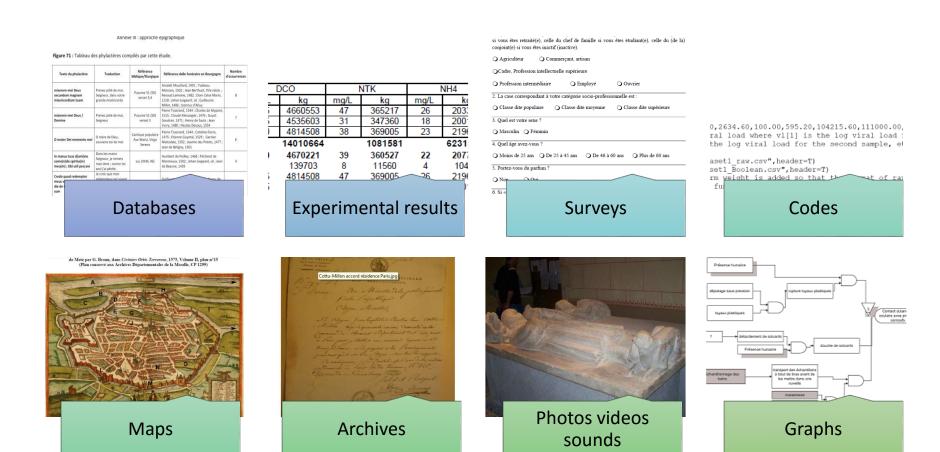
A reminder

Data vehicle

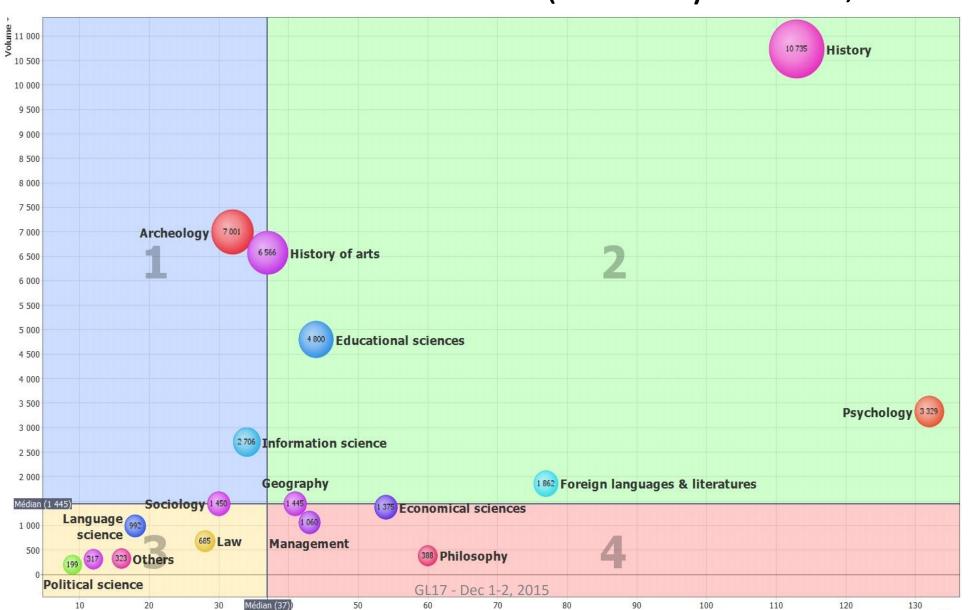
- Dissertations contain data
 - Primary data (sources)
 - Secondary data (results)
- In the text
 - Figures
 - Tables
- In appendix
 - Various formats, often non compliant with content mining
 - More or less structured
 - Sometimes on different medium
 - No identifiers
 - Metadata?



Data in PhD dissertations (survey 2015, N=780)



Data in PhD dissertations (survey 2015, N=780)

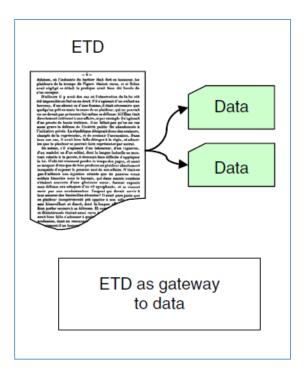


Data in PhD dissertations (survey 2015, N≡780)

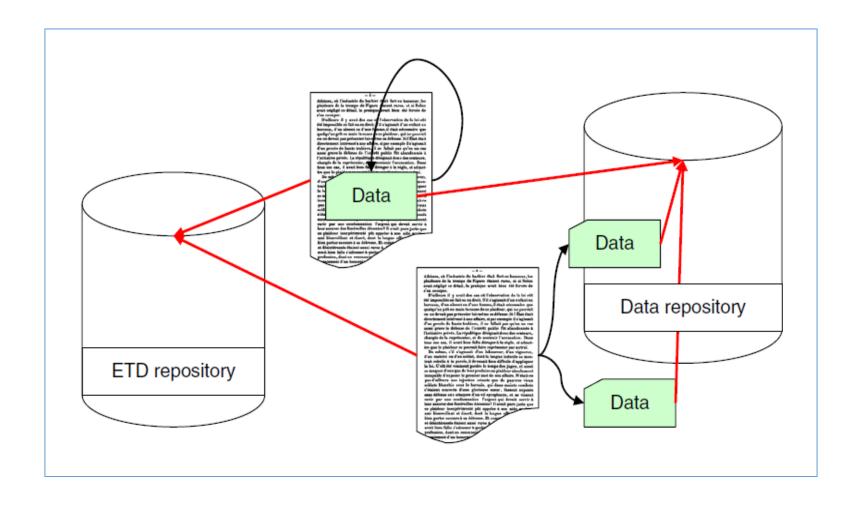


Gateway to data

- Dissertations (can) link to data
 - Primary data (sources)
 - Secondary data (results)
- Where is the data?
 - In data repositories
 - In institutional repositories
 - In social networks, ...
- Format
 - Initial (production), preservation, dissemination
 - More or less structured
- Metadata
 - Identifiers (DOI)
 - Generic v disciplinary



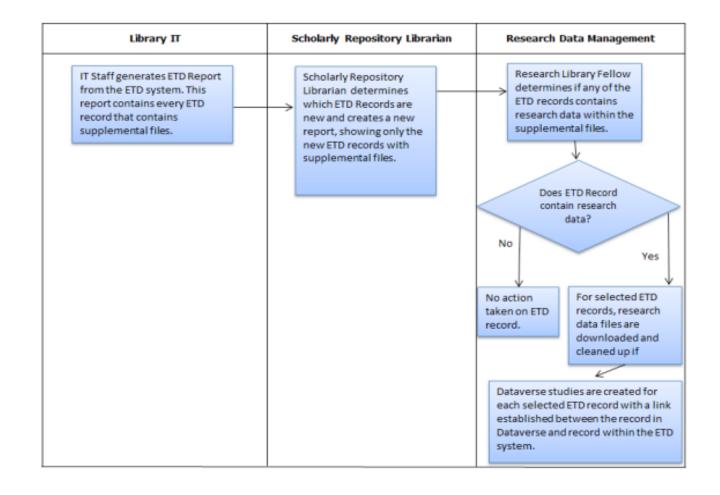
Separation of text and data



Workflow – Dataverse ETD Pilot Program

- Metadata
- Documentation
- Identifier
- Link

Source: Dataverse ETD Pilot Program at Emory (Doty et al. 2015)



Workflow – ETDplus project (Educopia Institute)

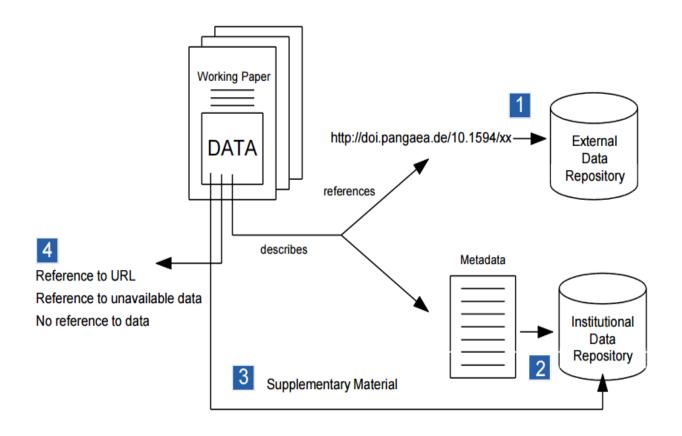
- Separation of the dissertation text files and the related "complex content objects" whenever possible.
- "Embedding multimedia components within the full text might seem advantageous in that they would then be inseparable. However, when the time comes that it is necessary to migrate either the full text itself or one of the multimedia components, having separate files would greatly simplify matters" (p.5-9).
- Metadata and persistent identifiers like handle, PURL, ARK or DOI are supposed to provide the "glue" that binds together the text, multimedia and data files.
- Preservation-worthy research data (survey data, measurements, laboratory notebooks, measured spectra etc.) might be stored as part of an "ETD package" or, after transformation into archival files, in a separate data repository, and "links to the data repository from the ETD metadata would then enable researchers to access these research data in the future" (p5-11).

Source: Guidance Documents for Lifecycle Management of ETDs (Schultz et al. 2014)

Workflow – Bielefeld PUB

- For working papers but also for ETDs
- Research data as a discrete resource
- Attribution of DOI (DataCite)
- Distinction between institutional and disciplinary data repositories

Source: Bielefeld PUB (Schirrwagen & Vompras 2015)

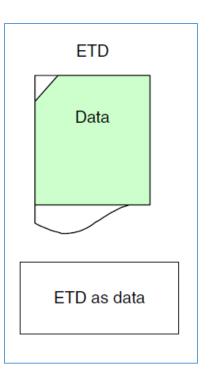


Dissertations as data

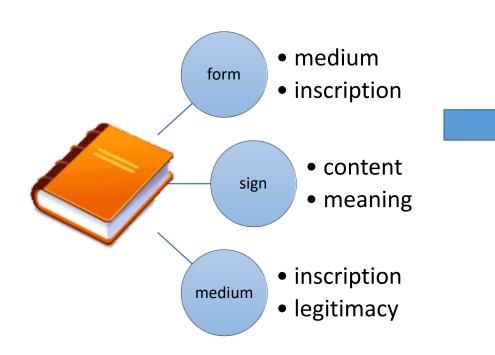
Another way to see and handle dissertations

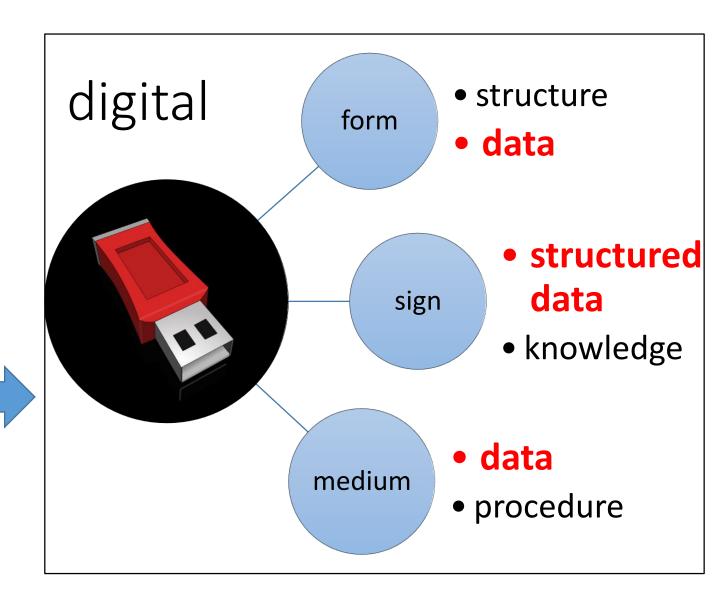
Data

- No distinction between text and data
- The whole dissertation is data
 - set of values of qualitative or quantitative variables
 - some existing information or knowledge represented in some form suitable for better usage or processing
 - can be measured, collected and reported, and analyzed, to create information suitable for making decisions
- Distinction between data and metadata
 - Yet, metadata is data, too



From print to ...





ETD as a

form

= structure + data; allows for information extraction and filtering

- Format: XML (syntax)
- Media: Web
- Structure: DTD
- Text encoding: TEI (grammar)
- Resource Description
 Framework
- Metadata

```
( #PCDATA | em | strong | tt | q | term | foreign |
  ( #PCDATA | em | strong | tt | q | term | foreign |
   im | link | target | a | sup | sub | br )* >
3.4. Submission Type
The element type submission type (submission) indicates that the contained text is the type of submi
<!ELEMENT submission - 0
  ( #PCDATA | em | strong | tt | q | term | foreign |
   im | link | target | a | sup | sub | br )* >
3.5. School
When it appears in the front matter, the element type school (school) indicates that the contained tex
This element type may also appear in a bibliographic citation. In that instance, the contained text is the
<!ELEMENT school - 0
  ( #PCDATA | em | strong | tt | q | term | foreign |
   im | link | target | a | sup | sub | br )* >
3.6. Degree
The element type degree (degree) indicates that the contained text is the name of the degree the auth
<!ELEMENT degree - 0
  ( #PCDATA | em | strong | tt | a | term | foreign |
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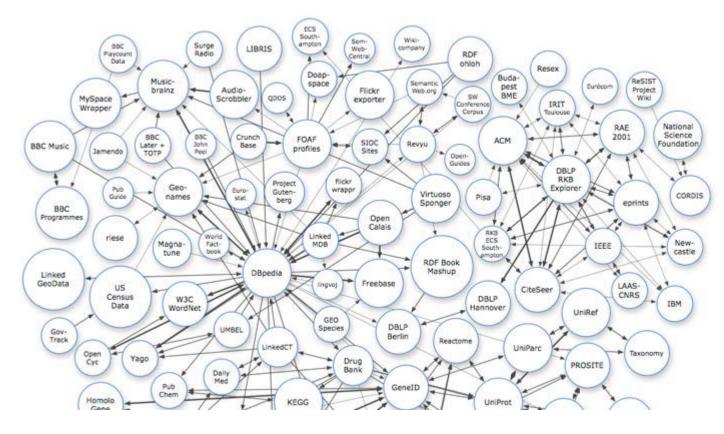
http://etd.vt.edu/etd-ml/dtdetds.htm

ETD as a

sign

= structured data + knowledge; aboutness, intentionality

- Semantics
- Ontologies
- Vocabulary
- Wikipedia
- Geolocation
- Research information

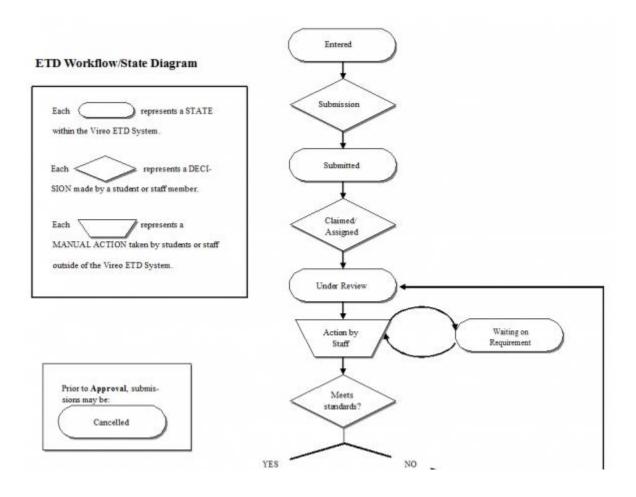


http://davemeeker.com/wp-content/uploads/2008/04/semanticweb.jpg

ETD as a

- = data + procedure
- Rules (prescription)
 - Format
 - Structure
- Legal status
 - IP exception
 - Licensing
 - Access restrictions

medium



https://wikis.tdl.org/tdl/ETD_Workflow_Diagram

Examples

Re-use to enable new insights from text and data

- Text and data mining (TDM) or content mining of machine-readable text and data
- Extraction of information (knowledge) from large volume of content
- "The main barriers against the uptake of TDM are not technical, but primarily a lack of awareness among academics, and a skills gap. They relate to legal issues around copyright and database rights, and to some policy choices of restrictions being implemented by publishers on (for instance) access to APIs. These problems are all soluble, but require non-technical solutions."

Brook, M., Murray-Rust, P., Oppenheim, C., Nov. 2014. The social, political and legal aspects of text and data mining (TDM). *D-Lib Magazine* 20 (11/12). http://dx.doi.org/10.1045/november14-brook

SPECTRa-T – a JISC project 2007-2008

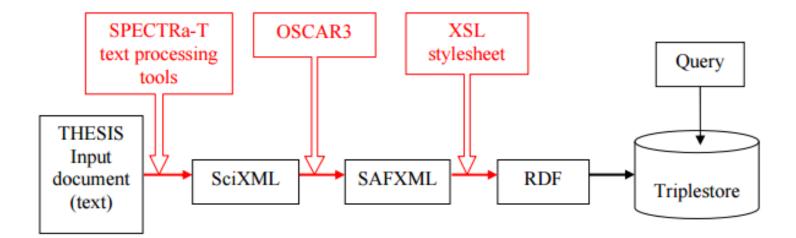
- A proof-of-concept approach focusing on chemistry research data in molecular and related subjects
- To develop text-mining tools and processes for the automatic extraction of experimental research data (chemical objects and named chemical entities)
- To transform the extracted data into metadata and ingest them into data repositories and RDF triplestores, thus enabling RDF-based semantic querying of the contents

Morgan, P., Downing, J., Murray-Rust, P., Stewart, D., Tonge, A., Townsend, J., Rzepa, H., 2008. Extracting and re-using research data from chemistry e-theses: the SPECTRa-t project. In: *ETD 2008 11th International Symposium on Electronic Theses and Dissertations*, 4 - 7 June 2008, The Robert Gordon University, Aberdeen, UK.

SPECTRa-T workflow

Various ETD formats – LaTeX, Postscript, Adobe Portable Document Format (PDF), Microsoft Word (DOC), Microsoft Office Open XML (DOCX)

PDF flow



http://www.dspace.cam.ac.uk/handle/1810/230116

SPECTRa-T on ETDs as

form

- "PDF (...) is significantly less well-suited to text-mining than is marked-up text."
- "For data mining in chemistry, a marked-up document file format (such as Office Open XML) for deposited e-theses should be available in preference to PDF."
- "Require deposit of the Word version of the thesis, and then to convert it to XML as a standard process (...)"

SPECTRa-T on ETDs as

sign

- "Discipline-specific text-mining tools, together with the triplestore and data repositories into which text-mined outputs are to be deposited, will best be managed by subject experts operating within the same disciplinary environment."
- "Much of the effort involved in developing text-mining tools and workflows is unavoidably specific to individual disciplines."
- "Those who are responsible for designing and delivering institutional repository services need to work closely with researchers in different subjects, in order to understand their needs and co-ordinate departmental and institutional activities."

SPECTRa-T on ETDs as medium

- "Institutions to determine what purpose theses might serve in each discipline beyond their immediate role in assessing a student's research (...)"
- "In the sciences theses should be regarded not simply as objects destined for preservation and archival status, but rather as unique resources containing potentially valuable data that must be made extractable and reusable."
- "Those authorities with responsibility for overseeing the writing, submission and subsequent management of theses (should) implement appropriate strategies, applying both institution-wide and disciplinespecific policies, guidelines and practices designed to ensure optimal conditions for re-use. In other words, institutional regulations should ensure that each thesis is fit for purpose."



TERRE-ISTEX project for geographic indexing and analysis from scientific corpora

Thematic project (funded by ISTEX 2016 – 2017)













Lille



TERRE-ISTEX: ISTEX project

- 1 objective: To offer an unique and exceptional concentration of scientific documentation archives
- 2 parts: acquisition of scientific digital archives, creation of the ISTEX platform
- 3 level of services: basic services, value added services, thematic projects
- 5 partners (+): CNRS, ABES, Couperin, MESR, Université de Lorraine for engineering CPU (+ R&D)
- Budget: 60m € (« Investissements d'Avenir »)
- Duration: 3 years
- http://www.istex.fr/



Lille TERRE-ISTEX: Issues

- To study what happens on a territory on the thematic « climate change » from heterogeneous scientific data (scientific articles from CIRAD and ISTEX, PHD Thesis)
- To give an help to Scientists to do their state-of-the-art (on a territory, on a thematic...)

Questions:

- What is a territory ? → A set of geographical information
 - Geographical information = spatial entity (where) + thematic entity (what) + temporal entity (when)
 - Example: a study on climate changes realized in the south of Madagascar in 1981.
- How to identify this kind of information? → text mining methods in abstract and content, experts validation

A use case for research information:

- What are the scientific documents related to Madagascar and Sénégal?
- In these documents, what are the studied thematics and the associated authors?
 - → Development of a Geographical Research Tool based on Elastic Search
 - → Spatial visualization
 - → the results analysis is made by experts



CIRAD data

Multilingual data Données coming from the Agrotrop database: CIRAD open archives

92 000 references and 25 000 complete documents: scientific publications and grey literature (reports, etc.)

3000 documents related to the thematic « climate change »

Metadata: title, author, abstract, indexed labels coming from lexicons (AGROVOC thesaurus and Agris/Caris

from the FAO. Thèmes Agris: https://agritrop.cirad.fr/view/subjects/, geographical information (countries)

PHD Thesis data (ANRT)

200,000 PhD theses, metadata, SUDOC link (ABES).

70,000 digital documents

ABES: RAMEAU thesaurus from the BnF for label description

400 PhD theses related to the thematic « climate changes »

ISTEX Data

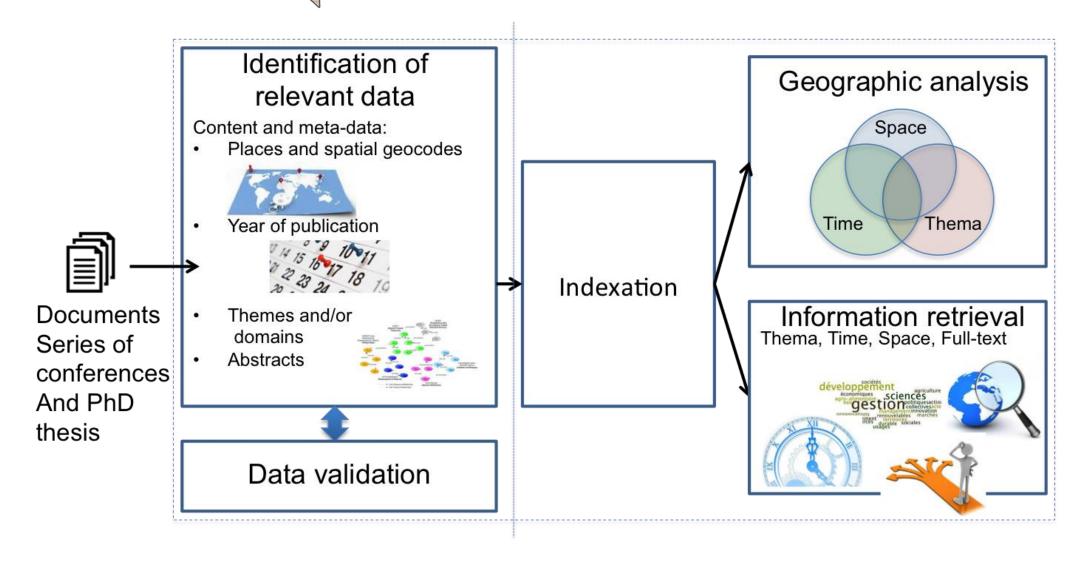
8,190,000 scientific articles (Emerald, Wiley, Elsevier, etc.) related to the thematic « climate change » (10,000 are in french)

Metadata into MODS (XML format)

Lille



TERRE-ISTEX: General process



TERRE-ISTEX: First work (proof of concepts)

Geographical analysis on the EGC conference publications (1200 articles): Indexing, Research information,

Analysis

Build a first geographic index (MODS model for metadata)

Information thématique	Nom ville conférence		
	Noms villes auteurs		
	Noms auteurs		
	Titre article		
	Résumé article		
	Session		
	Domaine		
Information spatiale	Coordonnées villes auteurs		
	Coordonnées ville conférence		
Information temporelle	Année conférence		
Information plein texte	Termes titre article		
	Termes résumé article		

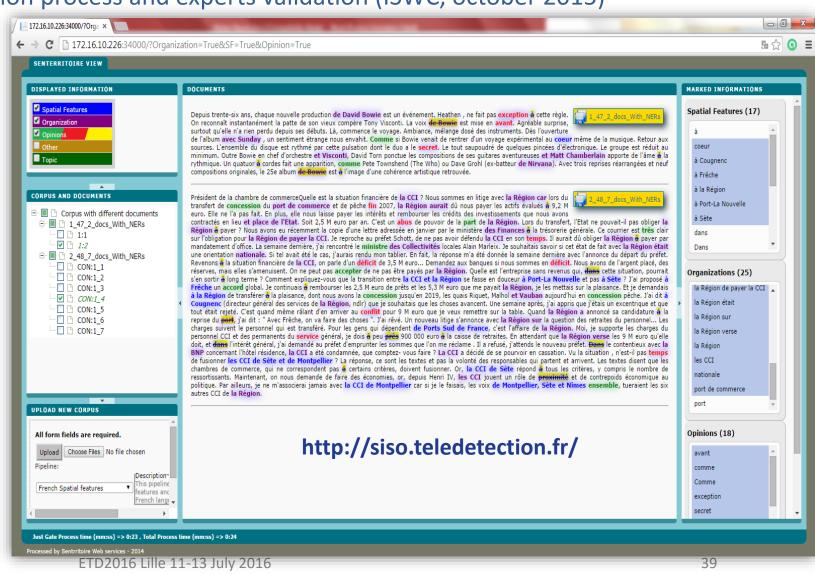
Implementation of a Multicriteria Reseach Information tool based on Elastic Search



TERRE-ISTEX: First work (proof of concepts)

The sentiAnnotator viewer for the extraction process and experts validation (ISWC, october 2015)

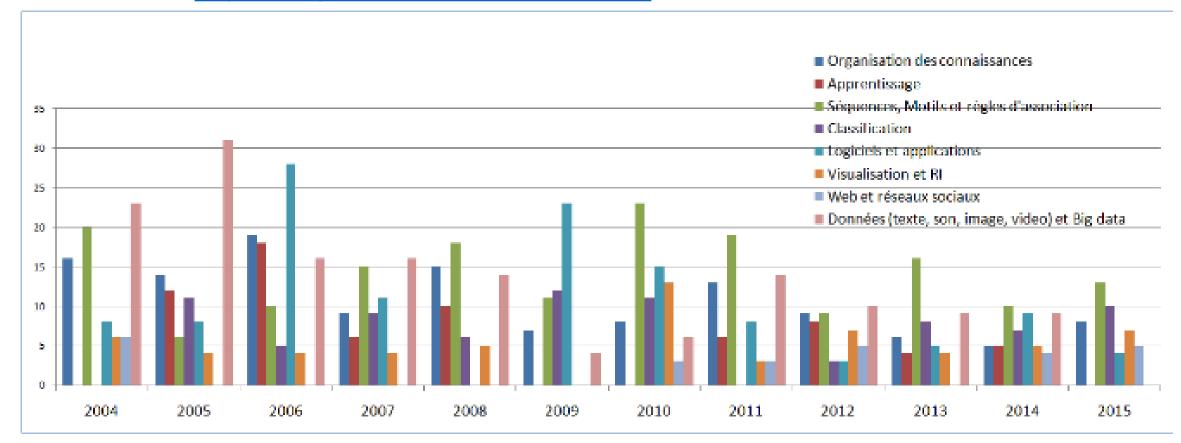
- ✓ Upload of Big corpora (french and english)
- ✓ NLP process to extract features
- ✓ Experts can (un)validate marked data
- ✓ Possibility to download results





TERRE-ISTEX: First work (proof of concepts)

- Geographical analysis on the EGC conference publications: Indexing, Research information, Analysis
 - A set of geographical analysis available (in french language): Elastic Search and Kibana tool http://ekergosien.net/DefiEGC/index.html

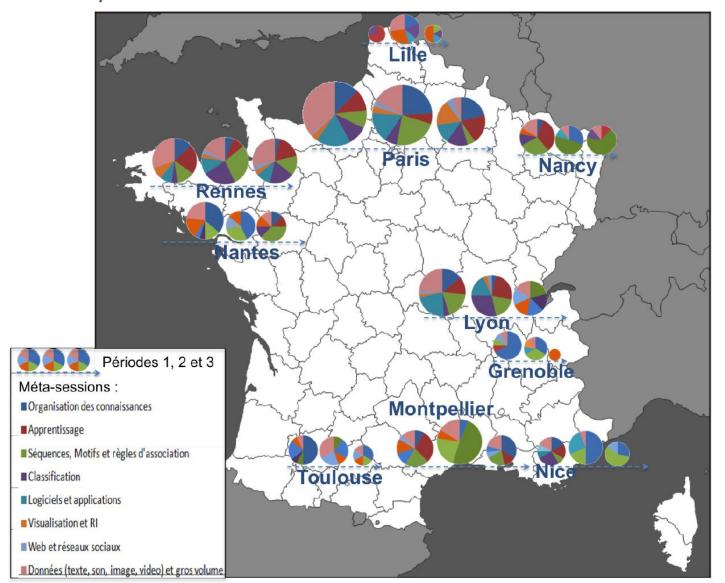


Lille



TERRE-ISTEX: First work (proof of concepts)

A set of geographical analysis available: Elastic Search and Kibana tool



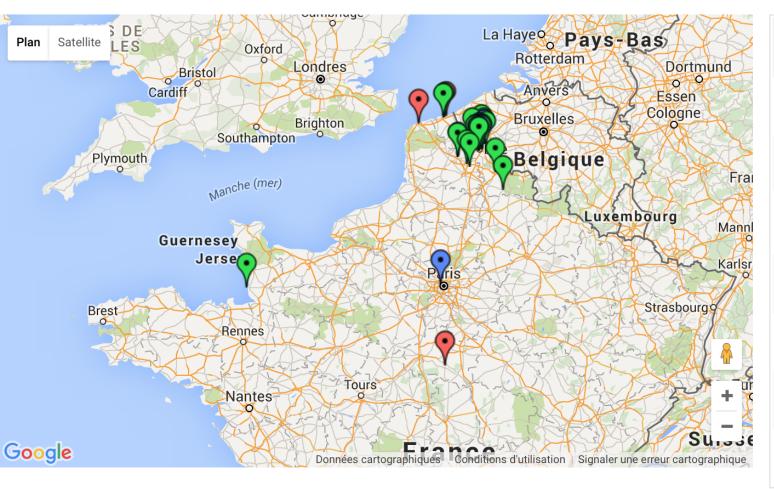


Prospects: « big data », Valorization

- « Big data »
 - Heterogeneous data from ISTEX, PhD theses and Cirad corpus :
 - → Normalization of medatada with the MODS model (XML)
 - Volume:
 - Test the scalability of our text mining application on bigger corpora
 - Tests on other thematics (history, technology, culture...)
 - Integrate other ressources (web, bases de données, archives ouvertes, plateformes...)

Master and BA dissertations

- Indexing students disserations (for Lille 3 students: thousands of dissertations)
- Implementation of a dynamical geographical information research tool



Туре	Categorie	Nombre de stage	Marqueur
Médiathèque	public	27	•
Bibliothèque	public	7	•
Centre de ressources documentaires	autres	4	•
Réseau de lecture publique	associatif	3	•
Learning Center	autres	1	•
CDI	autres	1	•
BCD	autres	1	•

Barriers

Availability

One part of dissertations is not digital

- Especially older dissertations
- Digitization of print dissertations: problem with OCR (see SPECTRa-T)

L'ENTOUR AGE POLONAIS DE STANISLAS

LESZCZYNSKI

Α

LUNEVILLE

1737-1766



Université de Nancy II

Thèse pour le Doctorat de 3ème cycle par STEPHANE GABER

NANCY

M. CM. LXXII

http://docnum.univ-lorraine.fr/public/BUL T 1972 0006 GABER.pdf

Accessibility

- One part of dissertations is not online
 - And/or not (easily) identifiable

- Some (few) are confidential
- More are embargoed (publishing)
- Others are restricted to on-campus access only

Social networks, private websites...

Institution	Sample	Open Access	Restricted Access	On Campus	Embargo
ProQuest (US) ⁶	500,000+	(95%)	5%	n/a	n/a
Texas, (Austin)	11,539	92%	8%	8%	n/a
PUC Rio de Janeiro (Brazil)	2,787	89%	11%	n/a	11%
West Virginia	4,600+	85%	15%	15%	0.3%
Florida State	3,709	84%	16%	n/a	n/a
ABES (France)	3,709	84%	16%	n/a	n/a
Lille 1 (France)	833	79%	21%	15.5%	5.5%
Auckland (Australia)	3,088	72%	28%	28%	n/a
Lorraine (France)	52	71%	29%	29%	n/a
Maryland	2,050	68%	32%	n/a	32%
Valenciennes (France)	35	63%	37%	31%	6%
Liège (Belgium)	191	57%	43%	33%	10%
Virginia Tech	20,386	54%	46%	n/a	46%
Amherst	n/a	48%	52%	32%	20%
Lille 3 (France)	124	40%	60%	n/a	n/a

http://www.dlib.org/dlib/march15/schopfel/03schopfel.html

Legality

- Dissertations are online but TDM is not allowed
 - No law
 - No license

- Gratis v libre
 - Harnad v Murray-Rust
- Orphan dissertations?

18. ALLOW TEXT AND DATA MINING



"Text & data mining" (TDM) or "content mining" refers to a variety of analytical procedures to derive additional information and knowledge from a large set of publications.

EXAMPLE: A scientist may use a computer to automatically analyse a large number of research papers to discover a previously unknown association between two diseases.

Some rightsholders insist that this requires two separate licences, one for reading the works and another one for TDM.



A specific and mandatory exception to remove text and data mining for scientific purposes from the reach of European copyright and database law should be considered.

—EC TDM expert group recommendation

THE REPORT RECOMMENDS: Clarify that lawful access to data includes the right to mine it through automated analytical techniques.

https://juliareda.eu/copyright-evaluation-report-explained/#tdm

Feasability

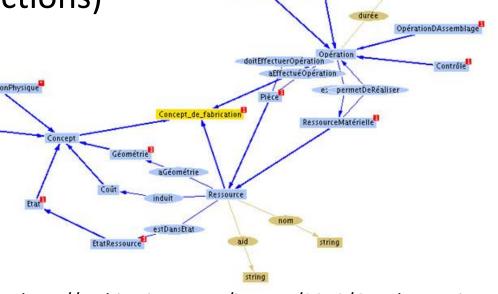
• Dissertations are online (ETDs) but TDM is not possible (optimal)

Format (PDF processing not optimal for TDM)

Structure (non recognition of relevant sections)

Metadata (discipline, domain...)

Discipline-specific knowledge (and tools)



Concluding remarks

Open science

- Amsterdam Call for Action (2016)
 - EU copyright reform and national initiatives
 - Licensing and TDM-friendly formats by publishers
- "The Right to Read is the Right to Mine" LERU 2016 (League of European Research Universities)
- EU copyright reform (2017?), objective TDM:
 - "A mandatory exception for research and education purposes;
 - a mandatory exception that will enable users to text and data mine all content to which they have legal access"
- French new Law for a Digital Republic (2016):
 - TDM exception for scientific documents (if legally accessed)
 - For scientific purpose, no commercial use

Conditions – A2LF



Recommandations

Availability

- Retrodigitization
- Text and complementary material

Accessibility

- Libre open access
- Institutional repositories

Legality

- TDM exception (or fair use)
- Clearance of third party rights (prescription rules)

Feasibility

- Standards (prescription rules)
- Rich metadata and file structure

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- Schöpfel, J., Juznic, P., Prost, H., Malleret, C., Cesarek, A., Koler-Povh, T., 2015. Dissertations and data (keynote address). In: *GL17 International Conference on Grey Literature*, 1-2 December 2015, Amsterdam. https://hal.archives-ouvertes.fr/hal-01285304
- All references available at http://www.citeulike.org/user/Schopfel/tag/etd2016
- Corresponding author: <u>joachim.schopfel@univ-lille3.fr</u>

