Ten Year Embargo Trends

CGS Summer Workshop and New Deans Institute
Boston
July 7 – July 11, 2012

Why we say "Start here."
Agenda

- Background Issues
- What ProQuest does and how we do it
- Embargo and delayed releases trends
  - Embargo Types
  - By Submission Mode
  - By Major Subject Categories
  - By Select Narrower Categories
  - New Developments
- Questions, Issues, Concerns
Background Issues

1. Changes in access and dissemination options, policies and mandates. (ProQuest, Institutional)

2. An information gap between the publishing context of faculty who may have finished their dissertation 10 to 20 years ago and the context today – open access, search engines and institutional repository participation.

3. Need to arrive at some consensus by the library and the graduate school regarding IR policies.

4. Nature of content potentially available electronically. (Faithful reproduction of images)
Emergence of Institutional Repositories

OpenDOAR

Growth of the OpenDOAR Database - United States

389 U.S. IRs

ProQuest
Emergence of Institutional Repositories

Content Types in OpenDOAR Repositories - United States, Institutional Repositories

- Journal articles
- Theses and dissertations
- Multimedia and audio-visual materials
- Unpublished reports and working papers
- Conference and workshop papers
- Other special item types
- Books, chapters and sections
- Learning Objects
- Bibliographic references
- Datasets
- Software

Total = 273 repositories

OpenDOAR - 13-Jun-2012
What ProQuest Does and How We Do It

- **ProQuest Policy Statements:**
  

- **Procedures:**
  - Paper
  - Electronic

- **Practices:**
  - Delivery of embargo information as metadata
  - Automated Embargo lifts
Circumstances Generally Recognized as Requiring Embargoes.

- Patentable rights in the work or other issues in which disclosure may be detrimental to the rights or interests of the author.

- Work based on proprietary research and funding.

- The ethical need to prevent disclosure of sensitive or classified information about persons, institutions, technologies, etc.

- The interest of an academic or commercial press in acquiring the rights to publish your dissertation or thesis as a book*.

- Content that is likely to be submitted to a peer-reviewed journal*.
Guide 4: Embargoes & Restrictions

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<th>Consideration</th>
<th>Recommended Action</th>
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<tr>
<td>Choose Traditional Publishing</td>
<td>Place an embargo of 6-months, 1 year, or 2 years</td>
</tr>
<tr>
<td>Do NOT choose third-party distribution</td>
<td>Restrict from Google/search engines and harvesters</td>
</tr>
<tr>
<td>See your institution’s technology transfer or research officer. Consult with your advisor and graduate dean.</td>
<td></td>
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<th>Likely submission to a peer-reviewed journal</th>
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<tr>
<td>Ethical need to prevent disclosure</td>
<td>✓</td>
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<tr>
<td>Patentable rights in the work/other commercial potential</td>
<td>✓</td>
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</tbody>
</table>

✓ = Recommended Action
Embargoed Dissertations in the PQDT Database

1. **Algorithms and Hardness Results for the Jump Number Problem, the Joint Replenishment Problem, and the Optimal Clustering of Frequency-Constrained Maintenance Jobs**
   by Gomez, Claudia Telha, Ph.D., Massachusetts Institute of Technology, 2012; AAT 0528675
   - [Abstract](#)

2. **Carved elegance. Hans Thoman, German Renaissance sculptor**
   by Hwang, Karen L., Ph.D., New York University, 2012, 481 pages; AAT 3502699
   - [Abstract](#)

3. **Castelnuevo-Mumford Regularity of General Rational Curves on Hypersurfaces**
   by Gharebaghi, Sava, Ph.D., Washington University In St. Louis, 2012, 79 pages; AAT 3506732
   - [Abstract](#)

4. **Categorification of Quantum sl3 Projectors and the sl3 Roschelikhin-Turaev Invariant of Framed Tangles**
   by Rozas, David Emile Vacher, Ph.D., Duke University, 2012, 115 pages; AAT 3505113
   - [Abstract](#)

5. **Cellular and Genetic Mechanisms of New Tissue Production in the Regenerating Planarian Schmidtea mediterranea**
   by Wimer, Daniel Elger, Ph.D., Massachusetts Institute of Technology, 2012; AAT 0528376
   - [Abstract](#)
ProQuest Publishing Options in the Electronic Submission Era

Our people are the best in their respective fields, and many have library backgrounds.

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**Publishing Options**

Select the publishing options below that best fit your interests and scholarly publishing obligations. Required fields are marked with an asterisk (*).

For assistance, consult your graduate school, and read our [Publishing Guides](#).

---

**Select Type of Publishing**

- **Traditional Publishing**
  - I want to make my work widely available and I want to be eligible to receive royalties on the sale of my work.
  - I understand that I must maintain a current mailing address with ProQuest/UMI in order to be eligible to receive royalties.
  - I understand that ProQuest/UMI does not charge a fee for Traditional Publishing.
  - I understand that my graduate institution may require fees in association with my submission to ProQuest/UMI.

- **Open Access Publishing PLUS**
  - I want the broadest possible dissemination of my work, and I want to provide free global access to the electronic copy of my work via the internet.
  - I understand that I will not be eligible to receive royalties.
  - I understand that the ProQuest/UMI fee for Open Access Publishing PLUS is $150.00 for a Master's thesis and $160.00 for a Doctoral dissertation USD.
  - I understand that my graduate institution may pay all or a portion of the total fee as well as may require additional fees in association with my submission to ProQuest/UMI.
Additional Publishing Options

Select Publishing Options

I want major search engines (e.g., Google, Yahoo) to discover my work. *Learn more

- Yes
- No

I want my graduate work to be sold by third party retailers in addition to ProQuest/UMI. *Learn more
(Note: If Traditional Publishing is chosen above, all sales are eligible to accrue royalties.)

- Yes
- No

Access options (e.g., delaying the release of your work)

If you choose to delay the release of your work, access to the full text of your work will be delayed for the period of time that you specify. The citation and abstract of your work will be available through ProQuest and may be available through your institutional repository.

Note: Most institutions have delayed release (or embargo) policies. Please consult with your Graduate School for more information.

Delaying release in ProQuest

I want my work to be available in ProQuest as soon as it is published.*

- Yes
- No - I have patents pending, or another reason why I need to delay access to the full text of my work.
Embargoes with ProQuest

Access options (e.g., delaying the release of your work)

If you choose to delay the release of your work, access to the full text of your work will be delayed for the period of time that you specify. The citation and abstract of your work will be available through ProQuest and may be available through your institutional repository.

Some institutions have delayed release (or embargo) policies. Please consult with your Graduate School for more information.

Release in ProQuest

I want my work to be available in ProQuest as soon as it is published.

○ Yes
○ No - I have patents pending, or another reason why I need to delay access to the full text of my work.

How long would you like to delay the release to ProQuest? *(more info)

○ 6 months ○ 1 year ○ 2 years

Note to administrator (optional): 200 characters

Reason for delaying release to ProQuest

Select

Select

Publication pending with another publisher
Patent pending
Material under another copyright is contained in the work
Sensitive material is included
Deferred degree date

Delay/release for 1 year
○ Delay/release for 2 years
○ None of the above

Note to administrator (optional): 200 characters
Embargoes in the Institutional Repository

**IR embargo options**

**Access options for my school’s Institutional Repository (IR)**

Select the option that best reflects your preference for publishing your work in your school’s institutional repository?

- Delay release for 6 months
- Delay release for 1 year
- Delay release for 2 years
- None of the above

Note to administrator (optional): 200 characters

Reason for delaying release to ProQuest:

- Select

Reason for your access option selection for your school’s IR:

- Select
- Publication pending with another publisher
- Patent pending
- Material under another copyright is contained in the work
- Sensitive material is included
- Deferred degree date
- Other

UMI Dissertations Derry Site

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- **Restrictions.** ProQuest/UMI will use commercially reasonable efforts to restrict the distribution of the Work as provided under the publishing option selected by Author or as later elected by Author through direct contact with ProQuest/UMI. Such election is subject to Author's Degree Granting Institution Directives (see below). With respect to restrictions requested after submission of the Work, Author acknowledges that ProQuest/UMI cannot recall or amend previously distributed versions of the Work. Refer to Guide 3 and Guide 4 for information about access and restrictions.
When Authors Change Their Minds
And They Do. And the Staff Can Assist.

The tool the staff uses to review and approve manuscripts.

Only the staff can change embargoes and administer extended embargoes.
Access options (e.g., delaying the release of your work)

If you choose to delay the release of your work, access to the full text of your work will be delayed for the period of time that you specify. The citation and abstract of your work will be available through ProQuest and may be available through your institutional repository.

Note: Most institutions have delayed release (or embargo) policies. Please consult with your Graduate School for more information.

Delaying release in ProQuest

I want my work to be available in ProQuest as soon as it is published. 

- Yes
- No - I have patents pending, or another reason why I need to delay access to the full text of my work

How long would you like to delay the release to ProQuest? *(more info)*

- 3 months
- 1 year
- 2 years
- Until the following date:
  
  YYYY-MM-DD (leave blank to never display)

Student Notes to Administrator:

Reason for delaying release to ProQuest *

Select

- Publication pending with another publisher
- Patent pending
- Material under another copyright is contained in the work
- Sensitive material is included
- Deferred degree date
- Other

- Delay release for 1 year
- Delay release for 2 years
- Delay release until the following date:
  
  YYYY-MM-DD (leave blank to never display)

- None of the above

Student Notes to Administrator:
Access options (e.g., delaying the release of your work)

If you choose to delay the release of your work, access to the full text of your work will be delayed for the period of time that you specify. The citation and abstract of your work will be available through ProQuest and may be available through your institutional repository.

Note: Most institutions have delayed release (or embargo) policies. Please consult with your Graduate School for more information.

**Delaying release in ProQuest**

I want my work to be available in ProQuest as soon as it is published. □

☐ Yes

☐ No - I have patents pending, or another reason why I need to delay access to the full text of my work

How long would you like to delay the release to ProQuest? *  □

☐ 2 months

☐ 1 year

☐ 2 years

☐ Until the following date: __________

YYYY-MM-DD (leave blank to never display)

Reason for delaying release to ProQuest *

Select: Publication pending with another publisher

Select: Patent pending

Select: Material under another copyright is contained in the work

Select: Sensitive material is included

Select: Deferred degree date

Select: Other

Delay release for a year

Delay release for 2 years

Delay release until the following date: __________

YYYY-MM-DD (leave blank to never display)

☐ None of the above

Student Notes to Administrator:
Access options for my school's institutional repository (IR)

Select the option that best reflects your preference for publishing your dissertation in your school's IR:
- Delay release for 6 months
- Delay release for 1 year
- Delay release for 2 years
- Delay release until the following date: [YYYY-MM-DD (leave blank to never display)]
- None of the above

Student Notes to Administrator:

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Note: ProQuest passes along all approved IR access options to the university, which is responsible for enforcement.

If you have any questions about your school's IR, please contact your Graduate School for more information.

Reason for revision:

---

Notify student: Student will be notified of changes, using email template below.

To: Student
- [ ] Administrators

Subject: Your dissertation publishing options have been changed

Message: Dear [Name],

Your dissertation "[Title]" has been changed. The publishing options have been changed.

To view the changes, please go to the following page:

[View ETD](http://www.etdadmin.com/cgi-bin/studentbrevet?revid=42919;siteid=1)

---

Reset to Default

Save Changes  Cancel
Use the “Run Reports” for Identifying Embargoed Material

Choose from the options below (or use the default selections) and click “Run report” to view a report on your institution's dissertations/theses. We will create a tab-delimited report that you can view in Excel or other spreadsheet programs.

1. Include dissertations/theses in the report that meet the following criteria

   **Status:**
   - Any Status
   - Submission in Progress
   - Ready for Decision
   - Ready for Checklist
   - Waiting for Revisions (Minor)
   - Waiting for Revisions (Major)

   **Last event:**
   - Any Last Event
   - Draft Saved
   - Submitted
   - Submitted with Revisions
   - Administrator assigned
   - Administrator unassigned
2. Fields to include in the report

Select the fields you would like included in the report for each dissertation/thesis. Select the order that the fields should appear in the report by selecting a field and clicking the "Move up" or "Move down" buttons.

Do not include these fields:

Include these fields:

- Submission ID
- Status
- Date submitted
- Title
- Keywords
- Subject category
- Tag
- Type
- Administrator
- Administrator assigned date
- Last event
- Date of last event
- Final decision date
- Student information
- Year degree awarded
- Department
- Publishing option
- Notes to administrator
- Delayed release (to ProQuest)
- Reason for delayed release (to ProQuest)
- IR access options
- Reason for IR access option

3. Delivery method:

Indicate how you want your tab-delimited report delivered.

[Download file]
Trends in the Use of Delayed Releases and Embargoes
Data Used for This Analysis

- 500,000+ records
- About 5% (25,000+) of these records at some point have been embargoed
  - The records cover 2000/2001 to 2010
  - Covering 900+ institutions
- About 475 permitting a variety of short term and long term embargoes
  - Short term Embargoes can range from 6 months to 5 years.
  - Long term embargoes are permanent
Trends in Embargo Type by Year

- **4387** (2010) - Short Term Embargoes
- **2122** (2009) - Short Term Embargoes
- **2762** (2008) - Short Term Embargoes
- **2744** (2007) - Short Term Embargoes
- **2510** (2006) - Short Term Embargoes
- **2382** (2005) - Short Term Embargoes
- **2000** (2004) - Short Term Embargoes
- **2020** (2003) - Short Term Embargoes
- **2078** (2002) - Short Term Embargoes
- **2004** (2001) - Short Term Embargoes
- **1388** (2000) - Short Term Embargoes

**ProQuest**

**Legend**
- Short Term Embargoes
- Permanent Embargoes
Electronic versus Paper Submissions

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### Trends by Narrowly Defined Categories

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## Narrow Subject Categories

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The last page of narrow categories not only shows trends for a number of areas which appear to be work of an interdisciplinary nature, but it also suggests just how varied some of these narrower categories can be. This variation is typical of most of the categories in the 3 previous tables.
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