ETD Embargoes
A Comparison of Institutional Policies and Practices

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Texas State University: Policies

• Current
  • Electronic submissions have an embargo choice of
    • None
    • 1 Year
    • 2 Year
    • Special Request - requires the Chair of the committee to submit a request to the Associate Dean of the Graduate College.
  • Electronic access is world-wide open access, there is no campus-only option
Texas State University: Policies

- A print copy of all theses and dissertations will be produced upon receipt, regardless of embargo status
  - in circulating collection
  - included in interlibrary loan

- A microfilm copy of all theses and dissertations will be produced upon receipt, regardless of embargo status
Texas State University: Policies

• Communication of embargo options and printing policies
  • Written in “Graduate College Guide to Preparing and Submitting a Thesis”
  • Written in “Committee Chair's Guide to Vireo Approval”
  • No formal policy document has been issued or made publically available
Texas State University: Policies

- Evolution from print
  --or How did we get here?
- Library has always circulated and loaned print copies
- Concern was about photocopying, not limiting access.
  - Author’s wishes were collected on permission cards and catalog records were annotated
  - Now, a statement for permission or refusal is incorporated into the document.
Texas State University: Policies

- Embargo questions started with Vireo

- No records of anyone ever requesting limited or restricted access to print document.
Texas State University: Policies

• What does embargo mean?
  • Does embargo mean document is unavailable to world and even campus until embargo period is over?
  • Does embargo mean it is not open to world, but only accessible to campus?
  • Does embargo mean it cannot be interlibrary loaned?

• Does embargo apply only to the electronic copy?
Texas State University: Policies

- First pass
  - Electronic submission = no print copy needed
  - If embargoed, print on-demand for on-campus use
- Second pass
  - Electronic submission = library keeps a print copy
  - If embargoed, print is also embargoed
- Third pass
  - Electronic submission = library keeps a print copy
  - Library produces a print copy upon receipt regardless of embargo.
Texas State University: Workflow

- Inside Vireo
  - During submission student selects
    - No embargo
    - 1 yr embargo
    - 2 yr embargo
    - or Special Request
  - Faculty approves or rejects the embargo selection within Vireo
  - T/D remains in Vireo during embargo period
Texas State University: Workflow

• Outside Vireo
  • Bindery staff
    • Pay no attention to embargo status
    • Retrieve files from Vireo for printing/binding and for microfilming

• Repository Manager
  • Uses filters to identify T/D to be published in the institutional repository.
  • Example: releases for Spring 2013 would include
    Embargo status: 2 year embargo
    Graduation date: May 2011
Texas State University: Exceptions

• Extensions – allowed with permission from chair and Associate Dean of Grad College

• Redactions - Not allowed

• Exceptions
  • PhDs with embargo requests beyond 2 years will be microfilmed by a company other than Proquest/UMI.
    • Abstract will be the only information sent to Proquest
Texas State University: Exceptions

- Creative Writing MFA’s may request a permanent embargo
  - This policy is neither publicized, written in the Graduate College T/D Guide, nor included within Vireo
  - English Department proposed a 25 year embargo, library requested permanent
  - Library still keeps a print copy in circulating collection, University Archives, and a microfilm copy.
  - So what’s the point of submitting electronically?
    - Convenience and lower cost for student
Laura Hammons
Texas A&M University
Texas A&M University: Policies

- Current
  - Immediate release
    - Masters students via IR
    - Doctoral student via IR and ProQuest
  - 2-year journal hold
    - Metadata released via IR and PQ during embargo period
  - Indefinite patent/proprietary hold
    - Metadata not released during embargo period
### Texas A&M University: Policies

#### May 2013

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<th>Embargo Type</th>
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Texas A&M University: Policies

• University Catalog

Committee chairs should be cautioned about allowing a student to use classified or proprietary information in theses or dissertations because these documents become available to the public upon submission to the Office of Graduate Studies.

The research conducted at Texas A&M University, as a Texas public institution, is ultimately for the benefit of the public. All theses, dissertations, and records of study are available on the Internet via the Texas A&M University Libraries. In addition, dissertations are published electronically by ProQuest (UMI) and are available from that source. Availability may be delayed temporarily only for patent/proprietary or publication issues.
Texas A&M University: Policies

- Evolution from print
Texas A&M University: Policies


1. Release the work immediately for worldwide access on the Internet.
2. (Patent Hold) Secure the work temporarily for patent and/or proprietary purposes, then release the work for worldwide access on the Internet. (Documentation Required)
3. (Journal Hold) Hold the work for one year, then release the work for worldwide access on the Internet.
4. Release the work immediately for restricted access on the TAMU Intranet. (Documentation Required)
5. (Patent Hold) Secure the work for patent and/or proprietary purposes, then release the work for restricted access on the TAMU Intranet. (Documentation Required)
6. (Journal Hold) Hold the work for one year, then release the work for restricted access on the TAMU Intranet. (Documentation Required)
Texas A&M University: Workflow

- Inside Vireo (v.2.0.2)
- Outside Vireo
License Agreement

You must agree to the non-exclusive license below in order to continue:

Texas Digital Library License Agreement:

I grant the Texas Digital Library (hereafter called "TDL"), my home institution (hereafter called "Institution"), and my academic department (hereafter called "Department") the non-exclusive rights to copy, display, perform, distribute and publish the content I submit to this repository (hereafter called "Work") and to make the Work available in any format in perpetuity as part of a TDL, Institution or Department repository communication or distribution effort.

I understand that once the Work is submitted, a bibliographic citation to the Work can remain visible in perpetuity, even if the Work is updated or removed.

I understand that the Work's copyright owner(s) will continue to own copyright outside these non-exclusive granted rights.

I warrant that:

1) I am the copyright owner of the Work, or
2) I am one of the copyright owners and have permission from the other owners to submit the Work, or
3) My Institution or Department is the copyright owner and I have permission to submit the Work, or
4) Another party is the copyright owner and I have permission to submit the Work.

Based on this, I further warrant to my knowledge:

1) The Work does not infringe any copyright, patent, or trade secrets of any third party,
2) The Work does not contain any libelous matter, nor invade the privacy of any person or third party, and
3) That no right in the Work has been sold, mortgaged, or otherwise disposed of, and is free from all claims.

I agree to hold TDL, Institution, Department, and their agents harmless for any liability arising from any breach of the above warranties or any claim of intellectual property infringement arising from the exercise of those non-exclusive granted rights.

ProQuest License Agreement*

*Applicable only for doctoral students who submit to ProQuest:

Traditional Publishing Agreement
This Agreement is between the author (Author) and ProQuest LLC, through its UMI® Dissertation Publishing business (ProQuest/UMI). Under this Agreement, Author grants ProQuest/UMI certain rights to preserve, archive and publish the dissertation or thesis, abstract, and index terms (the Work) provided by Author to ProQuest/UMI.

Section I. License for Inclusion of the Work in UMI® Publishing Program.
Emargo Options

With your advisor's approval you may request a delay in the publication (embargo) of your work.

None:  ○ The work will be published after approval.

Patent Hold:  ○ The full text of this work will be held/restricted from public access temporarily because of patent related activities or for proprietary purposes. The faculty chair will be contacted on an annual basis, and the work will be released following the chair's approval.

2-year Journal Hold:  ○ The full text of this work will be held/restricted from worldwide access on the internet for two years from the semester/year of graduation to meet academic publisher restrictions or to allow time for publication. The abstract of the work will be available through Texas A&M Libraries and, for doctoral students, through ProQuest/UMI during this time.
TAMU COPYRIGHT AGREEMENT

I hereby certify that, if appropriate, I have obtained and attached hereto a written permission statement from the owner(s) of each third party copyrighted matter to be included in my thesis, dissertation, or record of study, allowing distribution as specified below.

I certify that the version I submitted is the same as that approved by my advisory committee.

I hereby grant to Texas A&M University or its agents the non-exclusive license to archive and make accessible, under the conditions specified below, my thesis, dissertation, or record of study in whole or in part in all forms of media, now or hereafter known.

FERPA. To the extent this thesis, dissertation, or record of study is an educational record as defined in the Family Educational Rights and Privacy Act (FERPA) (20 USC 1232g), I consent to disclosure of it to anyone who requests a copy.

I retain all other ownership rights to the copyright of the thesis, dissertation or record of study.

I also retain the right to use in future works (such as articles or books) all or part of this thesis, dissertation, or record of study.

AVAILABILITY OPTION (check one)

☐ 1. Release the work immediately for worldwide access on the Internet.

☐ 2. (Patent Hold) Secure the work temporarily for patent and/or proprietary purposes, then release the work for worldwide access on the Internet.

☐ 3. (Journal Hold) Restrict full-text access for two years, then release the work for worldwide access on the Internet. (Citation and abstract will be available during embargo period).

Chair/Co-Chair’s Signature

I have discussed the availability choices with my student, and I am aware of the choice my student has made.

Chair/Co-Chair’s Signature: ____________________________
(Only One Co-Chair’s Signature Required)

STUDENT AVAILABILITY & COPYRIGHT AGREEMENT

I have read and fully agree to the TAMU copyright agreement regarding my thesis/dissertation. I agree to the thesis/dissertation availability option I selected above. I understand that the availability option is my choice and that there are publishing consequences to my selection.

Student’s Signature: ____________________________
Texas A&M University: Workflow

- Update/Verify embargo option in Vireo
- Verify degree candidacy (via Student Information System report)
- Resolve discrepancies in degree candidates and remove from May 2013 Vireo submission filter if needed
- Contact patent holds and some post-pub. blocked files
- Change files to Pending Publication in Vireo
- Filter Pending Publication files
- Generate export file for Libraries and PQ
- Batch publish to IR
Epifaunal Assemblages on Deep-water Corals in Roatan, Honduras

Title: Epifaunal Assemblages on Deep-water Corals in Roatan, Honduras

Author: Lavelle, Katherine

Abstract: Deep-water corals provide complex habitat structure for diverse assemblages of invertebrates and fishes. Similar to shallow coral reefs, oyster reefs, and seagrass beds, these complex biogenic structures serve many ecosystem functions: (a) as prey items; (b) sites for reproduction; (c) feeding stations, elevating suspension feeders above the benthos; and (d) refuges from predation. Because deep-sea corals provide some of the only three-dimensional habitats in the deep-sea, they may host distinct assemblages of epifauna. Non-destructive video surveys of deep-water coral assemblages were made to depths of 700 m at eight sites off Roatan, Honduras in May and December, 2011. Abundance, species richness, and distribution of epifauna were measured for 305 corals. We observed sixteen morphospecies of coral and twenty-six morphospecies of epifauna. Coral and epifaunal abundances were highest in the 335-449 m depth zone. Some epifauna had high fidelity for a single coral species or for a few species of similar morphological complexity. Other coral species had overlapping assemblages of habitat generalists. This is the first research on the biodiversity of deep-sea coral communities in Roatan, Honduras, and provides information on the assemblages, their depth distributions and ecological interactions.

Subject: marine biology
Coral

URI: http://hdl.handle.net/1969.1/148466

Date: 2012-08

Citation


Files in this item

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This item appears in the following Collection(s)
Texas A&M University: Exceptions

• Extensions
  • Via email request
  • Student requested
  • No rationale required
  • No approval required
  • Documented in Vireo

• Post-Publication blocks
  • Via email request
  • Student requested
  • Rationale required
  • Thesis Office approval required
  • Documented in Vireo and Excel
Texas A&M University: Exceptions

• Redactions/Post-Publication Changes
  • Generally not allowed
• Exceptions
  • Pro-Quest opt out
Texas A&M University: Future Considerations

• Policy Adjustments
  • Immediate release
  • 2-year journal hold
  • Definite patent/proprietary hold
    • Requires specific reason and current status
• Formalize Request for Extension
  • Submitted via form
  • Signed by advisor
  • Documented reason and status update
Geneva Henry
Rice University
Rice University: Current Recommended Policies

• All theses uploaded to Rice’s institutional repository and to ProQuest after the final version is submitted and approved.

• 1 year embargo possible for “special circumstances dealing with sensitive material, imminent publication, and intellectual property issues,” but only granted “under very unusual circumstances.”

• Student and advisor must petition for embargo, must be approved by Dean of school and Dean of Graduate and Postdoctoral Studies.

• Additional petition required for an additional 1 year embargo.

• Initially embargoed theses released for distribution after 1 year.
Rice University: Evolution from Print

- With print, did not permit theses embargoes, but *de facto* embargo was approximately 1 year since theses did not appear on shelf until bound copy was received and cataloged.
- Mix of ETD and print during Spring 2012. Did not send ETDs to repository until end of year.
- ETDs mandatory (no print) starting Fall 2012. Followed policy of not sending to repository until end of academic year.
- Until now, students and advisors could request a 6 month, 1 year, or 2 year embargo.
Rice University: Workflow

• Inside Vireo
  • When student submits thesis, they currently have four radio button options, of which they can choose one
    • Published after approval
    • Have obtained permission from Dean of Graduate and Postdoctoral Studies for a six month, one year or two year embargo

• Outside Vireo
  • Advisor must submit request for embargo and it is reviewed, then approved
  • Student brings signed UMI agreement form, title page and abstract, original approval of candidacy form, and 2 signed original copies of title page
Rice University: Workflow (cont’d)

- Vireo to Repository
  - Have previously held embargoed theses in Vireo
  - Currently push everything to DSpace repository where the embargo flag controls the release
  - All theses preserved, including embargoed theses. Everything goes into DuraCloud environment, published theses go to MetaArchive as well.
Rice University: Exceptions

- **Extensions**
  - Can petition for a 1 year extension to the embargo, but must be requested by the advisor and will “only be granted under very unusual circumstances.”
  - Student/advisor must proactively make request
  - No advanced notice that thesis is about to be released

- **Redactions**
  - Rice does not include personal information with thesis. Have not yet had a need for redaction

- **Exceptions**
  - Handled on a case-by-case basis. Usually involves situations where student can be harmed.