

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

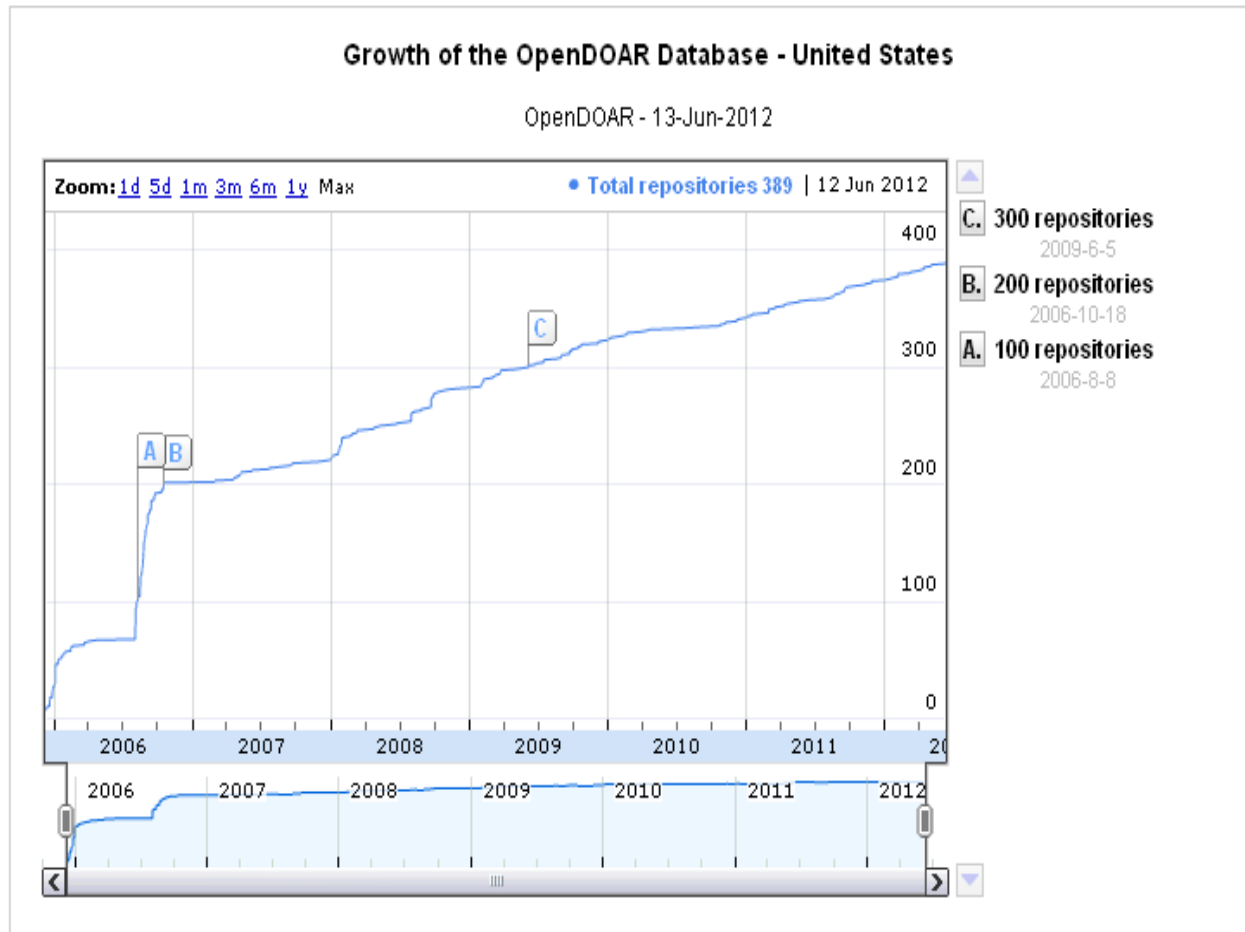
OpenDOAR

Directory of Open Access Repositories

[Home](#) | [Find](#) | [Suggest](#) | [Tools](#) | [FAQ](#) | [About](#)

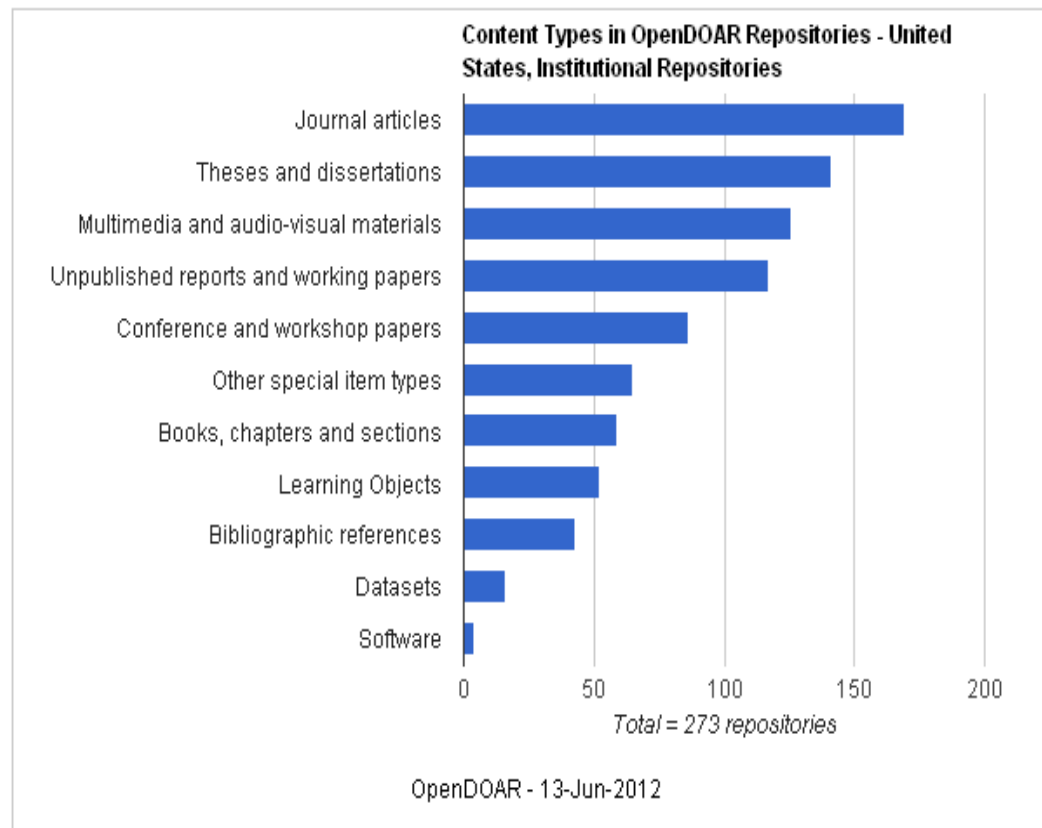
Growth of the OpenDOAR Database - United States

389
U.S.
IRs



Emergence of Institutional Repositories

Content Types in OpenDOAR Repositories - United States, Institutional Repositories



What ProQuest Does and How We Do It

- ProQuest Policy Statements:

http://www.proquest.com/assets/downloads/products/umi_embargoes.pdf

- 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

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

Embargoed Dissertations in the PQDT Database

ProQuest

[Help](#)

Interface language:

English

Go

Basic

Advanced

Browse

My Research
0 marked items

Databases selected: Dissertations & Theses

Results

28486 documents found for: (MIT) >> [Refine Search](#) | [Set Up Alert](#) | [Create RSS Feed](#)

Dissertations

Mark all 0 marked items: Email / Cite / Export

Show only full text

Sort results by: Most recent first

Go

- 1. [Algorithms and Hardness Results for the Jump Number Problem, the Joint Replenishment Problem, and the Optimal Clustering of Frequency-Constrained Maintenance Jobs](#)
by *Comejo, Claudio Telha*, Ph.D., **Massachusetts Institute of Technology**, 2012; AAT 0828375
[Abstract](#)
- 2. [Carved elegance Hans Thoman. German Renaissance sculptor](#)
by *Hung, Karen L.*, Ph.D., **New York University**, 2012, 481 pages; AAT 3502699
[Abstract](#)
- 3. [Castelnuovo-Mumford Regularity of General Rational Curves on Hypersurfaces](#)
by *Gharahbeigi, Sara*, Ph.D., **Washington University in St. Louis**, 2012, 79 pages; AAT 3505732
[Abstract](#)
- 4. [Categorification of Quantum \$sl_3\$ Projectors and the \$sl_3\$ Reshetikhin-Turaev Invariant of Framed Tangles](#)
by *Rose, David Emile Vatcher*, 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 *Wgner, Daniel Elger*, Ph.D., **Massachusetts Institute of Technology**, 2012; AAT 0828376
[Abstract](#)

ProQuest Publishing Options in the Electronic Submission Era



Signed in as: UMI Dissertations Demo

[My Profile](#) | [Sign Out](#)



UNIVERSITAS
COLLEGIUM

My ETDs

Resources & Guidelines

PDF Conversion

My Dissertations/Theses List

Submit my ETD

My Profile

Help ?

Submission steps:

Publishing information:

- Instructions
- Publishing options
 - ProQuest/UMI agreement
 - University agreement
- Contact information

About my dissertation/thesis:

- Dissertation/Thesis details
- PDF
- Supplemental files (optional)
- Notes (optional)

Submission & payment:

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

Submission & payment:

- Register U.S. Copyright
- Order copies
- Shipping address
- Submit

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/UML. * [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.

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

Delay 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

[Clear](#)

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

Other

Delay release for 1 year

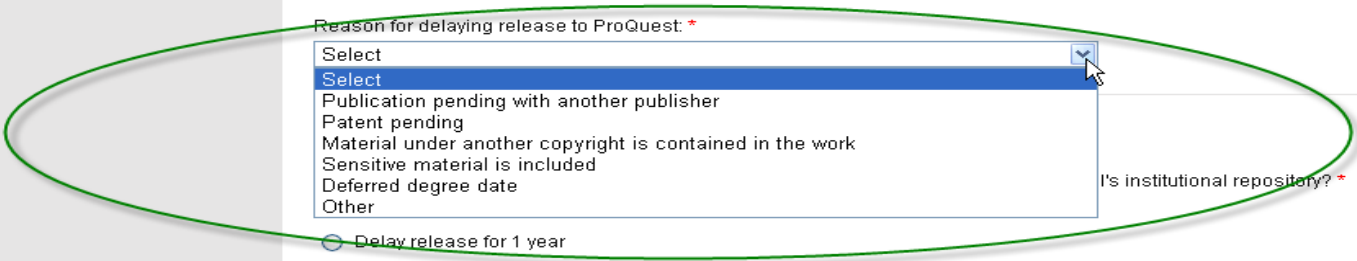
Delay release for 2 years

None of the above

Note to administrator (optional): 200 characters

[Show all downloads...](#)

Author needs an embargo or a delayed release



Embargoes in the Institutional Repository

The screenshot displays the ProQuest ETD Administrator interface. At the top, there are browser tabs for 'ProQuest - ETD Administrator' and 'ETD Administrator - My ETDs'. The address bar shows the URL: www.etsdadmin.com/cgi-bin/student/pubOpt?siteId=1;submissionId=43995. The page contains several form fields:

- A text area for 'Note to administrator (optional):' with a 200-character limit and a 'Clear' link.
- A dropdown menu for 'Reason for delaying release to ProQuest: *' with 'Select' as the current option.
- A section titled 'Access options for my school's institutional repository (IR)' circled in green. It includes the instruction: 'Select the option that best reflects your preference for publishing your work in your school's institutional repository? *'. Below this are four radio button options:
 - Delay release for 6 months
 - Delay release for 1 year
 - Delay release for 2 years
 - None of the above
- Another text area for 'Note to administrator (optional):' with a 200-character limit and a 'Clear' link.
- A dropdown menu for 'Reason for your access option selection for your school's IR: *' circled in green. The dropdown is open, showing options: 'Select', 'Publication pending with another publisher', 'Patent pending', 'Material under another copyright is contained in the work', 'Sensitive material is included', 'Deferred degree date', and 'Other'. A mouse cursor is pointing at the 'Select' option.

A red box on the right side of the page contains the text 'IR embargo options' with a red arrow pointing to the 'Reason for delaying release to ProQuest: *' dropdown menu.

At the bottom of the page, there is a link for 'UMI Dissertations Demo Site' and a copyright notice: '© 2012 ProQuest LLC. All rights reserved. Terms and Conditions'. The taskbar at the bottom shows a PDF file named 'UMI_EmbargoesRestrict...pdf' and a 'Show all downloads...' button.



Submission steps:

Publishing information:

- Instructions
- Publishing options
- ProQuest/UMI agreement**
- University agreement
- Contact information

About my dissertation/thesis:

- Dissertation/Thesis details
- PDF
- Supplemental files (optional)
- Notes (optional)

Submission & payment:

- Register U.S. Copyright

ProQuest/UMI Agreement

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.

Grant of Rights. Author hereby grants to ProQuest/UMI the **non-exclusive**, worldwide right to reproduce, distribute, display and transmit the Work (in whole or in part) in such tangible and electronic formats as may be in existence now or developed in the future. Author further grants to ProQuest/UMI the right to include the abstract, bibliography and other metadata in the ProQuest Dissertations and Theses database (PQDT) and in ProQuest/UMI's Dissertation Abstracts International and any successor or related index and/or finding products or services.

UMI® Publishing Program - Election and Elements. The rights granted above shall be exercised according to the publishing option selected by Author on the previous Publishing Options screen, and subject to the following additional Publishing Program requirements:

- Redistribution of the Work. Except as restricted by Author in the publishing option selected, the rights granted by Author automatically include (1) the right to allow sale and distribution of the Work, in whole or in part, by agents and distributors, including but not limited to commercial retail outlets and (2) the right to make the Abstract, bibliographic data and any meta data associated with the Work available to search engines and harvesters.
- 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.



Manage Dissertations & Theses | Run Reports | Manage Site

View ETD List | Submit ETDs for Students | Deliver ETD Batch

NEAR DEATH EXPERIENCE: MASLOW
Author: Welteke, Annemarie
ID: 10714
Status: Waiting for Revisions (Minor)

[< Back to ETD List](#)

The tool the staff uses to review and approve manuscripts.

- Manage this ETD:
- View ETD details
- Assign administrator
- Add notes
- Edit tags
- Save XML file
- View checklist
- Decisions:
- Register decision
- View decisions
- Revisions/Changes:
- Revise details
- Revise PDF
- Revise supplemental files
- Revise publishing options
- View revision history

ETD Details:

Title: NEAR DEATH EXPERIENCE: MASLOW
ID: 10714
Author(s): Annemarie Welteke

Student Notes to Administrator:
Spelling of title differs from SMS

Publishing Settings & Copyright

Traditional Publishing
Delayed Release (ProQuest): Never available
Allow search engine access.
Do not allow third party sales.
Do not file for copyright - I am requesting that ProQuest/UMI not file for copyright on my behalf.
Institutional repository access: No special instructions

PDF and Supplementary file(s)

(485.2 KB) [View ETD](#)

-- No supplemental files provided --

Degree/Department Information

Year degree awarded: 2010
Degree Awarded: Doctor of Philosophy
Year Manuscript Completed: 2010
Department: Psychology
Advisor/Supervisor/Committee Chair: Roebok J Michael
Committee Members: Smith N Jonathan, Methusalem R Jack

Only the staff can change embargoes and administer extended embargoes

Locked

Administrator: UMI
Dissertations Demo
Last event: Revision:
Publishing Options
Status: Waiting for Revisions (Minor)

My Tags: [add](#)

Admin notes: [add](#)
[View all admin notes](#)

- Revise supplemental files
- Revise publishing options
- View revision history
- View history
- View order
- Delivery:
- Deliver to ProQuest/UMI
- Withdraw:
- Withdraw this submission

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)

- 6 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
- 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:

Is institutional repository? *

- Revise supplemental files
- Revise publishing options**
- View revision history
- View history
- View order
- Delivery:
- Deliver to ProQuest/UMI
- Withdraw:
- Withdraw this submission

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.

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- 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
- Until the following date:
YYYY-MM-DD (leave blank to never display)



Student Notes to Administrator:

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
- 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:

Is institutional repository? *

Access options for my school's institutional repository (IR)

Select the option that best reflects your preference for publishing your work in an institutional repository? *

- 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:

Institutional Repository Options

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:

Message: Dear Annemarie Welteke,
Your dissertation "NEAR DEATH EXPERIENCE: MASLOW" 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/student/revetd?revld=42919;siteld=1) (<http://www.etdadmin.com/cgi-bin/student/revetd?revld=42919;siteld=1>)

[Reset to Default](#)

Save Changes

Cancel

Authors notified about the implementation of their requests. Copy of notification resides in system.

Use the “Run Reports” for Identifying Embargoed Material



Manage Dissertations & Theses

Run Reports

Manage Site

Help ?

Run report

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.

Run report

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

Status: Include items with the following status.

[Clear](#)

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

Last event: Include items with the following last events.

[Clear](#)

- Any Last Event
- Draft Saved
- Submitted
- Submitted with Revisions
- Administrator assigned
- Administrator unassigned

Report Elements

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:

Do not include these fields:

Degree

Add Field(s) >>
<< Remove Field(s)

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

Move up Move down

3. Delivery method:

Indicate how you want your tab-delimited report delivered.

- Download file

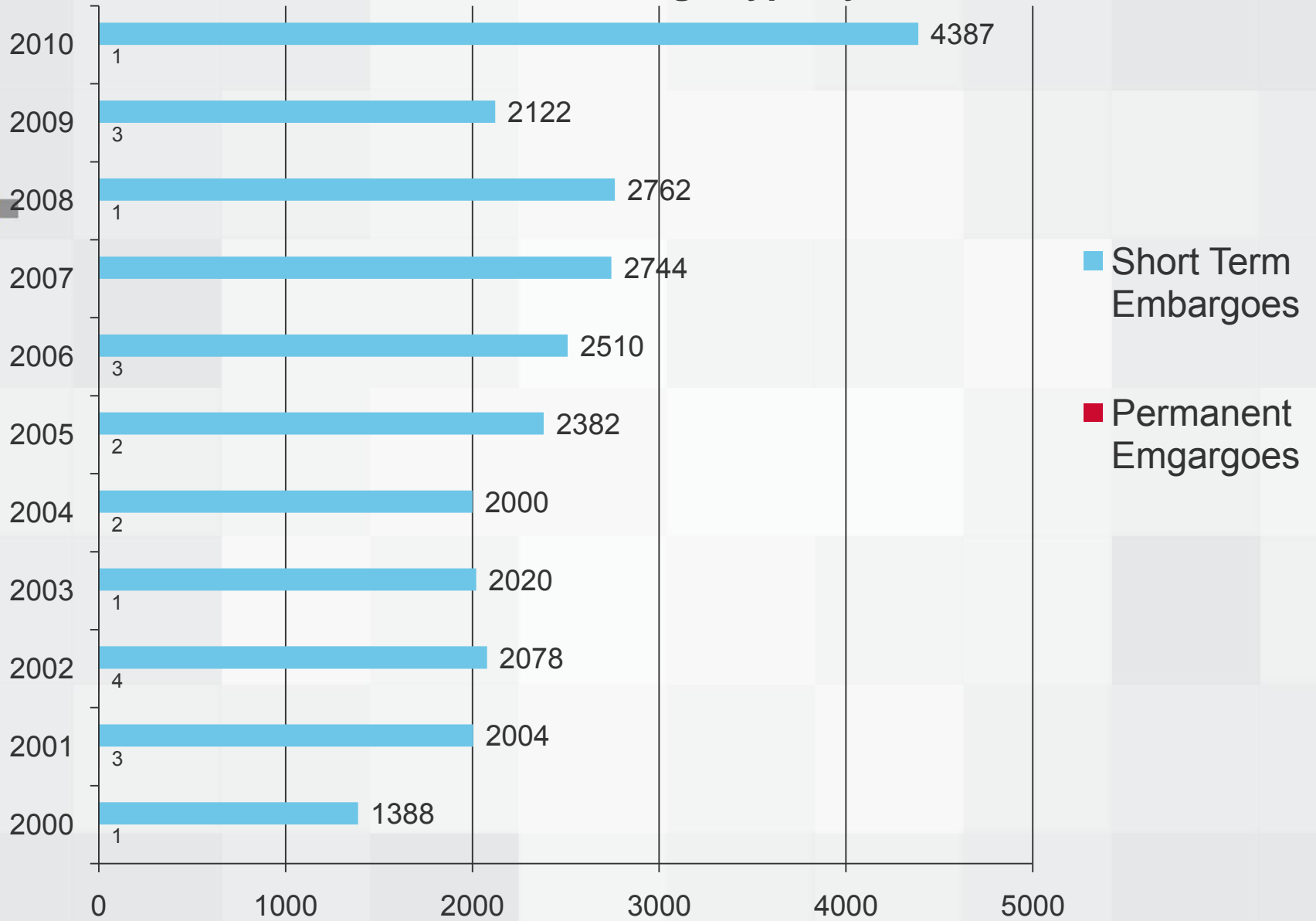
Trends in the Use of Delayed Releases and Embargoes



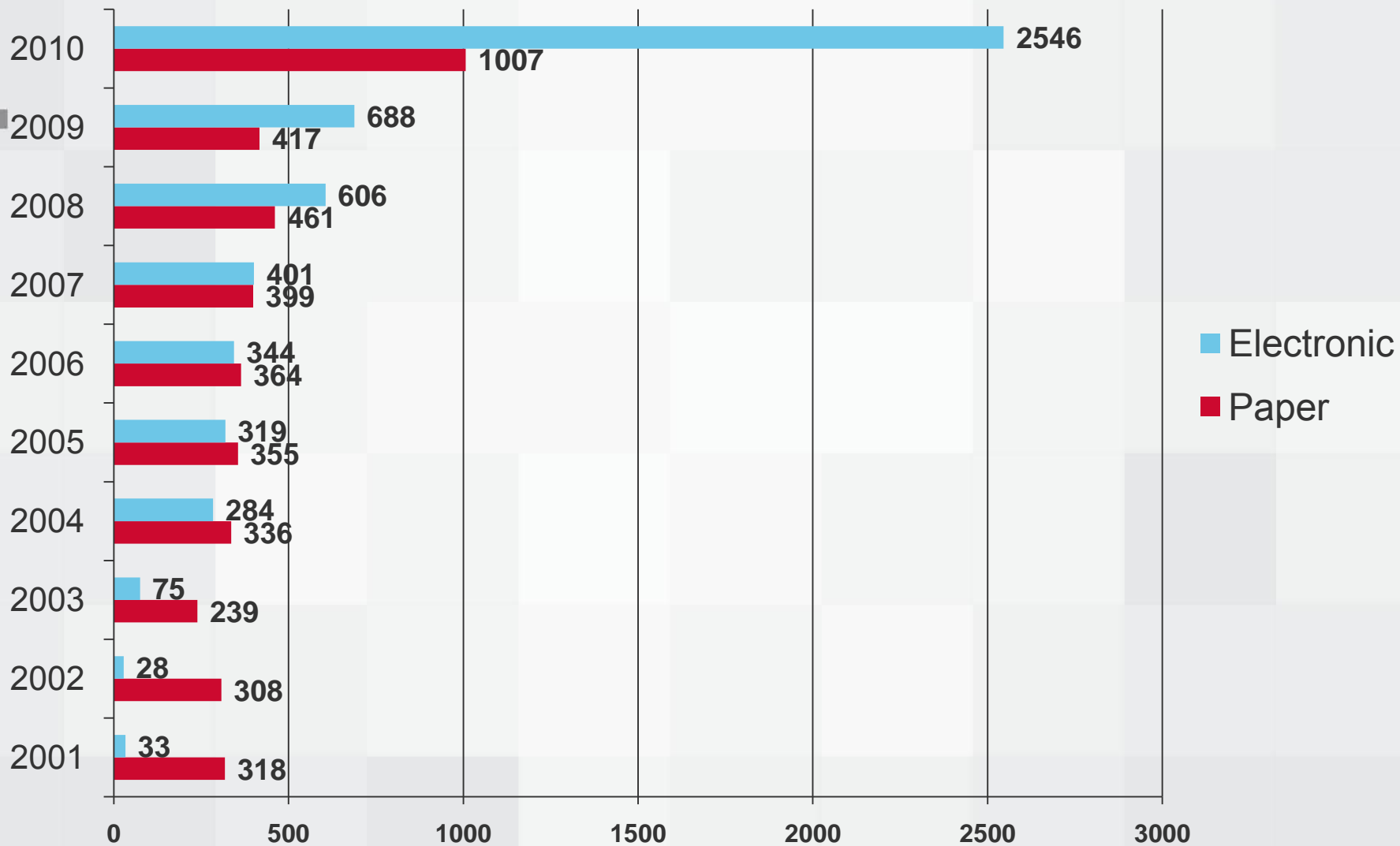
Data Used for This Analysis

- 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

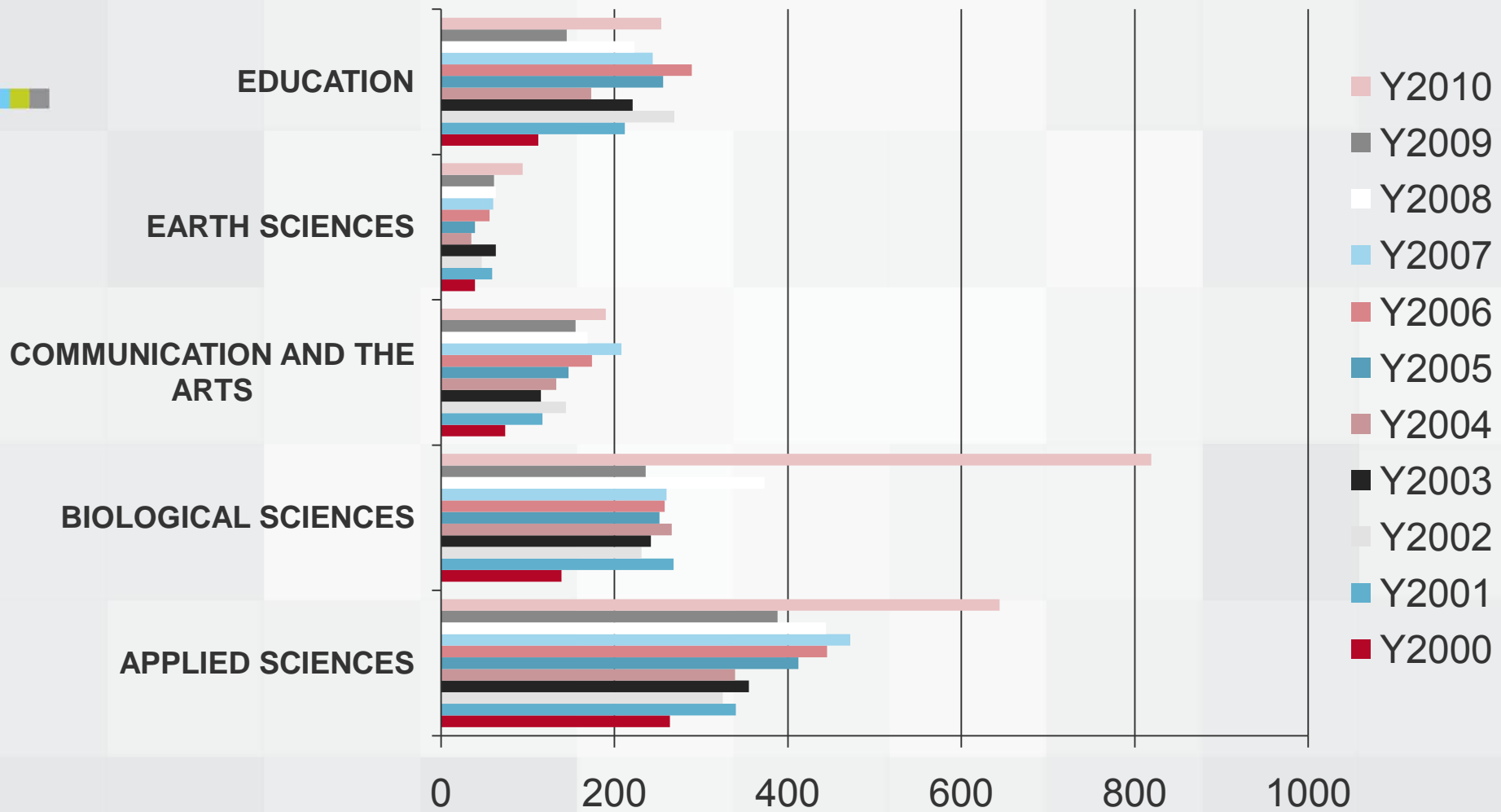
Trends in Embargo Type by Year



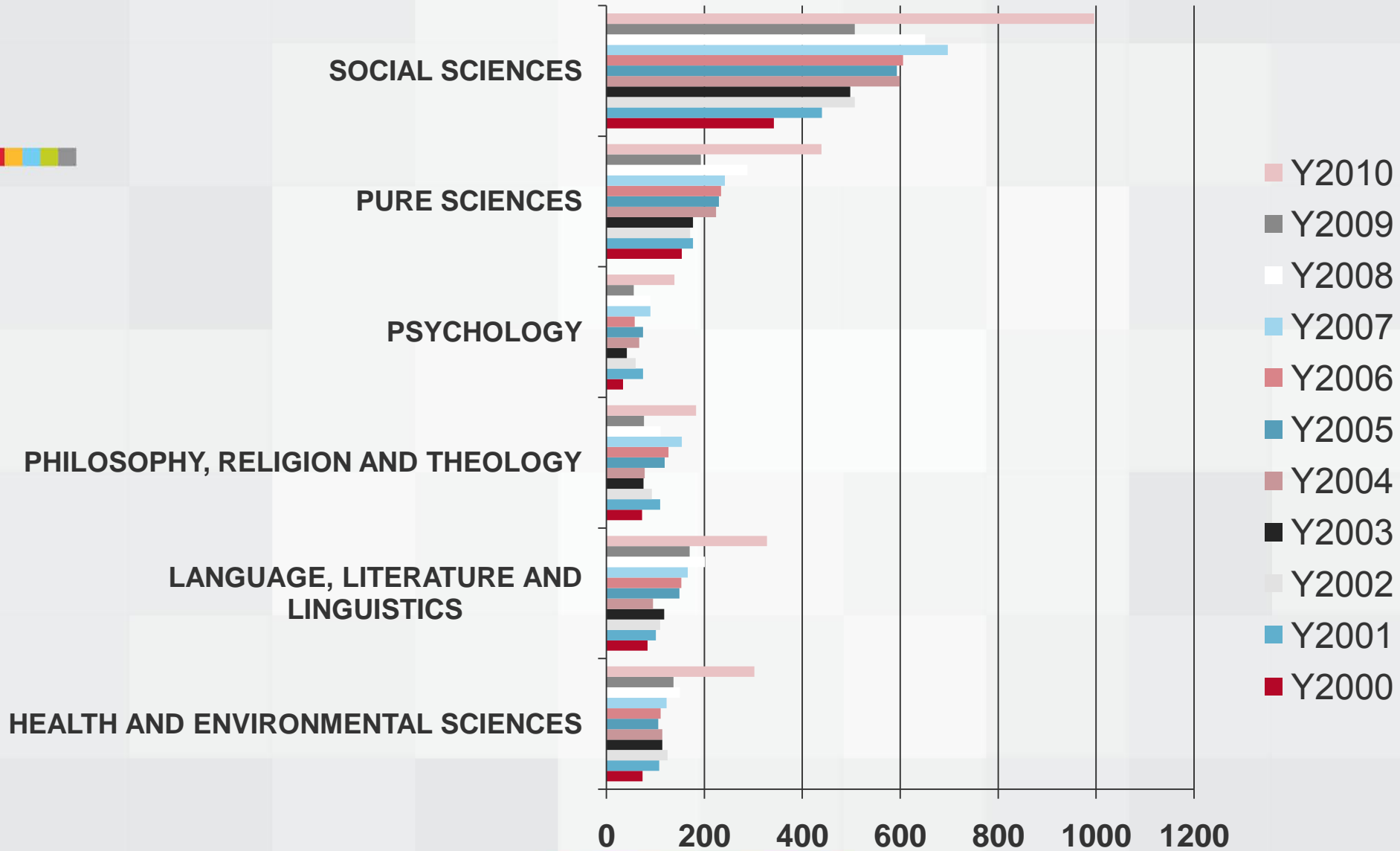
Electronic versus Paper Submissions



Broad Subject Categories



Broad Subject Categories



Trends by Narrowly Defined Categories

Page 1												
Row Labels	Y2000	Y2001	Y2002	Y2003	Y2004	Y2005	Y2006	Y2007	Y2008	Y2009	Y2010	
Engineering, Mechanical	31	32	29	36		48	71	54	56	39	70	
Musical Performances										16	60	
Biology, Molecular	4	25	8	20	33	21	21	24	29	20	57	
Computer Science	23	21	23	30	36	41	63	38	52	41	49	
Chemistry, Biological	4	7	7	8	11	10	13	8	24	12	40	
Chemistry, Organic	8	13	16	12	19	23	23	19	28	11	37	
Engineering, Electrical	24	25	29	32	25	31	25	25	30	36	35	
Economics, General	14	13	8	12	19	16	20	19	18	9	32	
Engineering, Industrial	2	4	5	12	13	16	10	12	23	16	29	
Biology, Molecular	1	10	10	14	9	9	4	14	10	9	28	
Philosophy	6	17	17	16	15	10	15	19	18	19	27	
Chemistry, Inorganic	7	7	11	8	10	16	23	19	8	10	27	
Health Sciences	4	7	5	4	4	3	2	5	9	7	26	
Biology, Neurobiology	2	9	2	4	16	19	11	12	26	24	26	
Mathematics	28	26	20	22	34	35	25	25	24	22	25	
Engineering, Mechanical	11	17	15	29	14	21	26	30	24	24	25	
Biology, Molecular	5	6	7	7	4	4	3	4	8	4	23	
Economics, Finance	8	17	11	16	20	10	9	22	9	5	23	
Political Science	3	7	3	8	12	11	24	25	21	19	22	

Narrow Subject Categories

Page 2											
Row Labels	Y2000	Y2001	Y2002	Y2003	Y2004	Y2005	Y2006	Y2007	Y2008	Y2009	Y2010
Biology, Cell	1	3	5	4	8	9	11	19	5	8	22
Engineering,	9	13	24	17	25	29	21	35	28	24	22
Biology, Micro	3	10	7	1	6	7	9	11	9	11	21
Engineering,	4	14	11	12	10	18	23	15	9	13	20
Literature, Ar	7	8	6	12	5	9	8	5	8	10	20
Statistics	4	3	3	3		7	2	12	9	3	19
PSYCHOLOGY,	4	13	10	8	17	8	7	15	13	14	18
Biology, Physiology					1		3	1	2	2	18
Biology, Mole	2	3	5	7	3	3	4	3	5	5	16
Art History		6	11	10	12	5	5	15	16	11	15
Chemistry, Biochemistry:B		1	2	1		2	1	2	4	4	15
Biology, Neur	2	1	3	3	4	2	5	2	6	2	15
Education, Ec	15	11	27	9	11	17	23	21	19	10	15
Biology, Neurobiology										5	15
Biology, Gene	8	9	2	4	13	4	7	7	15	4	14
Music	26	57	67	60	60	72	102	111	60	29	14
Language, Lin	21	13	26	22	16	21	24	34	15	7	14
PSYCHOLOGY,	3	5	1	2	7	4	11	9	7	6	13
Health Scienc	3	7	7	1	6	3	2	8	7	6	13
Health Scienc	2	1	2	1	5	4	4	13	7	8	13
Biophysics, G	1	2	4	2	4	1	2	3	5	4	13


Narrow Subject Categories

Page 3												
Row Labels	Y2000	Y2001	Y2002	Y2003	Y2004	Y2005	Y2006	Y2007	Y2008	Y2009	Y2010	
Chemistry, Physical	1	6	8	4	8	5	11	17	13	10	12	
Literature, English	4	8	8	5	4	10	3	8	12	5	12	
Physics, Concepts	8	11	8	12	13	11	17	16	30	11	12	
Health Sciences, Pharmacy			4	2	2	1		2	2	4	12	
History, United States		3	3	2	2	2	2	4	6	2	11	
Business Administration	2	3	10	12	7	14	6	10	7	3	11	
Biology, Molecular	1	2	5	2	7	4	5	3	4	5	11	
Health Sciences, General	1			1	1		3	7	4	2	11	
Political Science, International Relations:Political Science, General											10	
PSYCHOLOGY	3	3	3	4	3	6	3	2	4	5	10	
Business Administration	8	18	12	27	21	24	27	31	23	4	9	
Health Sciences, Epidemiology							4	5	5	3	9	
Literature, Modern:Literature, Modern		4	7	6	5	5	4	3	9	9	9	
Engineering, Electrical	16	11	12	11	5	14	18	9	10	4	9	
Health Sciences, Public Health:Health Sciences, Epidemiology							1		3	3	9	
Engineering, Computer									1	1	9	
Music:Musical Performances									20	37	8	
History, United States	2	1	2				1				8	
Biology, Virology	1				1		1	5	4	1	8	
PSYCHOLOGY	1	1	1	1	3	1	1	4	1		8	



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.

Statement of Vice President of ProQuest Information Systems, John Roberts



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Sources: Publisher Surveys

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