ETDs in Lock-Down: Trends, Analyses and Faculty Perspectives on ETD Embargoes

Terry Owen, Timothy Hackman, & Thomas Harrod
University of Maryland Libraries

ETD 2009
10 June 2009
ETD Background

- Mandatory electronic submission since 2003
- DRUM launched in August 2004
  - [http://www.lib.umd.edu/drum](http://www.lib.umd.edu/drum)
- ETDs automatically deposited in DRUM
- DRUM contains more than 4,500 ETDs
ETD Concerns

- Will journal publishers still accept my article if it is available electronically?
- What if I want to write a book related to my thesis of dissertation?
- Won’t it be easier for someone to plagiarize my research if it is freely available online?
UM ETD Embargo Options

- Restrict access for one year
- Restrict access for six years
- Restrict access indefinitely
  - Requires written approval by the Dean of the Graduate School
- Non-circulating print copy still available in the library
Why Embargo?

For 1-year embargoes
- Seek patent protection for material in the thesis or dissertation
- Publish in a journal that has restrictions for depositing in an open access repository

For 6-year embargoes
- Publish a book based on your dissertation
Abstract: This paper analyses the ritual of imported wine consumption in America between 1750 and 1800 and its significance in establishing a wealthy gentleman’s power and place within a social hierarchy. My research was conducted by exploring contemporary written and visual records, as well as examining material objects and architectural spaces, specifically pertaining to the Annapolis, Maryland region. Beginning with a study of the varieties of wines consumed and their influence in the politically-charged environment prior to the American Revolution, the paper then explores why and how gentlemen used wine binging as an indication of one’s identity in a burgeoning society. Quantities of wine-related furniture and decorative objects, in combination with architectural storage spaces, conveyed a life far above that of the average citizen. Finally, this paper examines to what degree historic house museums are interpreting the wine ritual and suggests steps that might be taken to do so more effec...

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Embargo Process

- Form submitted to Grad School
- Four options
  - allow immediate access
  - 1-year embargo
  - 6-year embargo
  - indefinite embargo
- Must be signed by faculty advisor
- Supplemented by 2-page info sheet
<table>
<thead>
<tr>
<th></th>
<th>Degrees Awarded</th>
<th>1-year</th>
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<th>Total</th>
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<td>265</td>
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<tr>
<td>TOTALS</td>
<td>2050</td>
<td>432</td>
<td>218</td>
<td>650</td>
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## Embargoes by College

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<th>College</th>
<th>Degrees</th>
<th>1-yr</th>
<th>6-yr</th>
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<tr>
<td>Engineering</td>
<td>526</td>
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<td>34</td>
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<td>Ag &amp; Natural Res</td>
<td>92</td>
<td>32</td>
<td>15</td>
<td>47</td>
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<tr>
<td>Architecture</td>
<td>61</td>
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<td>3</td>
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<tr>
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<tr>
<td>Behavioral &amp; Soc Sci</td>
<td>253</td>
<td>39</td>
<td>24</td>
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<tr>
<td>Chem &amp; Life Sci</td>
<td>226</td>
<td>95</td>
<td>26</td>
<td>121</td>
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<tr>
<td>Comp, Math &amp; Phy Sci</td>
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<td>8</td>
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<td>17</td>
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<td>Journalism</td>
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<td>1</td>
<td>2</td>
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<td>Business</td>
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<td>7</td>
<td>8</td>
<td>15</td>
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<td>Public Policy</td>
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<td>2</td>
<td>1</td>
<td>3</td>
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Faculty Approving More Than One Embargo

No. of Embargoes Approved

- 2: 65
- 3: 23
- 4: 9
- 5: 3
- 6: 4
Departments With Greatest Number of Embargoes

Five Embargoes:
- Mathematics
- Mechanical Engineering
- Theatre

Six Embargoes:
- Art History & Archaeology
- American Studies
- Electrical & Computer Engineering
- English
Faculty Survey

- Faculty advisors who had approved at least one embargo since 2006 (N=367)
- Eleven-question survey sent out Feb 2009
- Open for three weeks
- 131 responses; 36% response rate
- Population: tenured faculty with 10+ years in academe
Do your students review the embargo options with you?

- Always
- Sometimes
- Never
Faculty Involvement in Decision Process

![Bar chart showing faculty involvement in decision processes regarding embargo periods: Urge Not to Embargo, Urge to Embargo, Shorter Embargo, and Longer Embargo. The chart compares 'Yes' and 'No' responses.](chart.png)
## Reasons for Approving Embargoes

<table>
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<tr>
<th>Reason</th>
<th>Total / %</th>
<th>Arts &amp; Hum</th>
<th>Sciences</th>
<th>Soc Sci</th>
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<tbody>
<tr>
<td>Future Publication</td>
<td>34 (37%)</td>
<td>7</td>
<td>22</td>
<td>5</td>
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<tr>
<td>Protect Data/Work</td>
<td>20 (22%)</td>
<td>6</td>
<td>8</td>
<td>6</td>
</tr>
<tr>
<td>Student Request</td>
<td>17 (19%)</td>
<td>2</td>
<td>6</td>
<td>9</td>
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<tr>
<td>Proprietary Data</td>
<td>8 (9%)</td>
<td>0</td>
<td>7</td>
<td>1</td>
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<tr>
<td>Don’t Remember</td>
<td>7 (8%)</td>
<td>1</td>
<td>2</td>
<td>4</td>
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<tr>
<td>Patent Application</td>
<td>5 (5%)</td>
<td>0</td>
<td>5</td>
<td>0</td>
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Educational Efforts

- ETD workshops for graduate students
- Ongoing communications with faculty regarding embargoes
- Educate faculty on evolving trends in scholarly publishing, including author rights
- One-on-one conversations with faculty who have approved several embargoes
- Scholarly communications program in development
Questions?

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