Executive Board

(Systemwide Senate Review) Second Systemwide Review of Proposed Presidential Policy on Open Access for Theses and Dissertations

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Executive Board

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March 13, 2019

Robert May
Chair, Academic Council

RE: Systemwide Senate Review: Second Systemwide Review of Proposed Presidential Policy on Open Access for Theses and Dissertations

Dear Chair May:

Our committee members reached a consensus of opinion in support of most of the proposed presidential policy on open access for theses and dissertations. There was, however, for us a matter that required further discussion. This is the question of students' requests for extensions on an initial two-year embargo on providing open access to recently filed dissertations. You will see from our committees' responses that this is the issue that inspired the most detailed of our discussions.

> We were interested to read the wording in III.D of the policy:
> Graduate students may delay the date their theses or dissertations become available in an open access repository by specifying the embargo period of up to two years upon filing. A Graduate Dean (or delegee of the Dean) may extend the embargo for additional two-year periods upon receiving a letter of request from the dissertation chair (or other appropriate authority overseeing the thesis or dissertation at issue) for each two-year embargo extension request. The letter should state the reason for requesting the embargo extension. Examples of circumstances justifying embargo extensions include, among other reasons: (a) a publisher's requirement of an embargo in connection with the publication of a manuscript derived from the thesis or dissertation, or (b) an inability to obtain a patent due to the disclosure of patentable inventions in the thesis or dissertation. Upon extraordinary circumstances (such as a high legal or safety risk to the graduate student), an indefinite embargo may be granted for as long as such extraordinary circumstances exist pursuant to Section IV below.

The very idea that a dean or a dissertation chair should be called upon to grant further extensions appears somewhat unreasonable. There can be many circumstances that means that a dissertation should be withheld from Open Access. Long-term illness or disability is one such consideration. For this particular reason, the prospect of putting a former student who filed the dissertation under pressure to comply with these requirements is unreasonable. In any case, there are pressures in some fields (especially areas of the humanities and social sciences) where former PhD students will want to preserve their dissertations from Open Access because they are transforming their research into the form of a critical monograph—the kind of publication that often needed to secure tenure.

> As one colleague from our Executive Board observed:
> To my mind, dissertations [in the context of Open Access] are a somewhat special category. On the one hand, they have always been required to be placed in libraries and from there I think that the general practice at UC has been to allow circulation with some special embargo exceptions. And at the same time UC dissertations were supposed to be sent to the Dissertation reproduction system that used to be at UMich but is now ProQuest dissertations online. At least

that was what I was required to do back in the day when I got my degree from Berkeley. What has changed of course is the ease of online access as you can now simply download a dissertation rather than having to formally order it. So there has always been some circulation except with exceptions.

On the other hand, since these are dissertations and not simply publications they are parts of a student's degree requirements which I think should enable a student to claim more control over the work. An author who doesn't want to publish his/her work because they don't want to release it yet can simply not publish it. A student doesn't have that control. So I don't think that the general support of Open Access works the same way.

Because of protests in an earlier round it is now much easier for a student to get successive two year embargoes. To me that seems like a reasonable compromise so long as there is no right granted to campuses or graduate deans to shorten or restrict that in the name of prior campus custom or policy.

It is fair to say that from our email discussions of the proposal, this viewpoint represents the majority opinion among our Senate members.

We thank you for this opportunity to comment on the proposed policy.

Sincerely,



Joseph Bristow
Chair, UCLA Academic Senate, 2018-2019

cc: Hilary Baxter, Executive Director, Systemwide Academic Senate
Sandra Graham, Immediate Past Chair, UCLA Academic Senate
Michael Meranze, Vice Chair/Chair-Elect, UCLA Academic Senate
Michael LaBriola, Principal Policy Analyst, Systemwide Academic Senate
Linda Mohr, Chief Administrative Officer, UCLA Academic Senate

UCLA Herb Alpert School of Music

Chair of the Faculty

445 Charles E. Young Drive East
2539 Schoenberg Music Building, Box 957234
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www.schoolofmusic.ucla.edu

February 25, 2019

TO: Joseph Bristow, Chair
Academic Senate

CC: Linda Mohr, CAO
Academic Senate

FR: Lily Chen-Hafteck, Chair
Faculty Executive Committee
The Herb Alpert School of Music



RE: School of Music Response to UC Open Access for Theses and Dissertations Policy

---

The Herb Alpert School of Music FEC considered the memo on proposed open access policy for theses and dissertations at its meeting on February 8, 2019. Although we are in general sympathetic to the idea of open access to work produced in the University of California, we have serious reservations about extending this policy, as a default expectation, to student work. The following points have been made, each of which was acceded to by a consensus of the FEC membership:

1. Theses and dissertations are not equivalent to books and articles by faculty, most importantly because they are not necessarily written by University of California employees. Even when they are, that employment does not entail the writing of theses and dissertations, which are instead written in their capacity as students, not employees. Although thesis and dissertation work may be facilitated by grant funding in the sciences, that is much less typical of work in the humanities and the arts. Graduate student training, funding, and employment at UC is not contingent on publishing or making public their research findings.

There are three other important distinctions:

2. Theses and dissertations are in many respects works in progress. Their aims are not the same as those of articles and books. In particular, many students' careers, especially in the humanities and some social sciences, will depend on their turning their theses or dissertations into published books or articles. If they are made widely available as theses and dissertations, it may be much more difficult to find a publisher for the later form that work will take. It is common for the maturing of a humanities or social science dissertation into a monograph to take five or six years. So two-year embargoes are not helpful.

3. In many theses and dissertations, particularly those based on ethnographic research, it is deemed important to present all evidence as fully as possible. While confidentiality will of course be maintained as required by the IRB and often research subjects themselves, when including interviews and other information from at-risk populations (for example, those with repressive governments), there is occasionally a genuine risk to those populations, even when identities are disguised. We believe that on the rare occasion when a dissertation author believes it is ethically preferable not to make the dissertation widely available, either permanently or for a fixed number of years, that author should be allowed to decide whether or not to permit open access, rather than having the decision made for them by institutional authorities who cannot be as knowledgeable as the author is about a given situation.

4. Likewise, standards for collecting permissions for reproduced material are different for theses and dissertations, which as unpublished student work, are more protected by fair use understandings. Getting permission to reproduce copyrighted images and material is both time-consuming and potentially quite expensive; we therefore routinely approve dissertations that include such material as part of their evidence and argument, and do not require permissions. If theses and dissertations containing such material are made available through open access, such permissions would have to obtained or the students and the University would be possibly liable for copyright infringement.

For these reasons, we believe students should be able to opt out completely from open access to their theses and dissertations, and that embargo extensions should be much easier to acquire than UCLA's proposed policy would allow.

Cc: Judith L. Smith, Dean, School of Music
Raymond Knapp, Academic Associate Dean, School of Music

UCLA MEMORANDUM

FACULTY EXECUTIVE COMMITTEE
College of Letters and Science

A265 Murphy Hall
Box 951571
Los Angeles, California 90095

To: Joseph Bristow, Chair, Academic Senate

Fr: Jeffrey Lewis, Vice Chair, College Faculty Executive Committee

Date: February 26, 2019

Re: **College FEC response to Systemwide Review of Proposed Presidential Policy on Open Access for Theses and Dissertations**

The College FEC appreciates the opportunity to comment on the proposed Presidential Policy on Open Access for Theses and Dissertations. We reviewed the proposed revision at our meeting on February 15, 2019. We were joined by Victor Valdez of the Graduate Division to highlight the key components of the document.

We were pleased to learn that UCLA is already in compliance with this proposed presidential policy as theses and dissertations are submitted to our institutional repository, ProQuest, and made publicly available through its eScholarship digital repository.

Members did, however, raise concerns about the length and availability of embargo periods under the open access policy. As noted during the first systemwide review of this policy, strictly limited embargo periods may, in some cases, limit any author's ability publish work arising from her dissertation and also reduced the scholarly impact that such publications have, especially in the humanities. It is the Committee's understanding that an exception to the embargo period limit will now be granted if a publisher of a book arising from a dissertation demands such an exception. The Committee believes that it would be desirable for similar embargo limit exceptions be made available at an author's request in any instance in which a book manuscript arising from a dissertation is under contract with a publisher regardless of whether the publisher explicitly demands it. More generally, we hope that the embargo exception policy will be designed and implemented in a way that is sensitive to a broader set of author concerns and to variation in the culture and professional practice the exists across the academy.

As always, our membership appreciates the consultative process and welcomes the opportunity to participate in the discussion of important matters like this. You are welcome to contact me at jblewis@polisci.ucla.edu with questions. Mitsue Yokota, Academic Administrator, is also available to assist you and she can be reached at (310) 794-5665 or myokota@college.ucla.edu.

cc: Lucy Blackmar, Assistant Vice Provost, Undergraduate Education Initiatives
April de Stefano, Assistant Dean of Academic Services, Graduate Division
Valeria Dimas, Executive Assistant, Academic Senate
Robin Garrell, Vice Provost and Dean, Graduate Division
Linda Mohr, Chief Administrative Officer, Academic Senate
Aaron Tornell, Chair, College Faculty Executive Committee
Victor Valdez, Administrative Analyst, Graduate Division

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Graduate School of Education & Information Studies
Moore Hall, Box 951521
Los Angeles, California 90095-1521

To: Joseph Bristow, Chair
Academic Senate

Date: February 27th, 2019

RE: Second systemwide review of proposed presidential policy on open access for theses and dissertations

Dear Senate Chair Bristow,

The GSE&IS FEC recently discussed the proposed presidential policy on open access for thesis and dissertation. There was confusion about the appeal process and whether any provisions were made for such a process in the current proposal. While there was mention of an appeal process in the former document, this appears to be omitted entirely in the current version. Thus, it is not clear what happens if requests for extension are denied. Can there be an appeal? If so, what is the process?

The GSEIS FEC appreciates the opportunity to weigh in on this issue and looks forward to additional information and discussion as needed.

Sincerely,



Richard Desjardins
Chair, GSEIS Faculty Executive Committee

March 1, 2019

To: Joseph Bristow, Chair
Academic Senate

From: Derjung "Mimi" Tarn, Chair
Committee on Library and Scholarly Communication

Re: Second Systemwide Review of Proposed Presidential Policy on Open Access for Theses and Dissertations

At its meeting on January 28, 2019 the Committee on Library and Scholarly Communication briefly discussed the Presidential Policy on Open Access for Theses and Dissertations. The committee endorses the proposed policy as written,

Thank you for the opportunity to comment.

UCLA *Graduate Council*

January 17, 2019

To: Joseph Bristow, Chair
Academic Senate

From: Willeke Wendrich, Chair
Graduate Council

Re: Second Systemwide Review of Proposed Presidential Policy on Open Access for Theses and Dissertations

At its meeting on January 11, 2019, the Graduate Council reviewed and discussed the Proposed Presidential Policy on Open Access for Theses and Dissertations. Members endorsed the proposed policy and offered no additional comments.

Thank you for the opportunity to review and comment.

From:	Michael LaBriola
To:	UCACOUN-L@LISTSERV.UCOP.EDU; mmartone@ucsd.edu; mdtodd@ucsd.edu; earauchway@ucdavis.edu; kwp@chem.ucsb.edu; chowning@berkeley.edu; mjlazzara@ucdavis.edu; Schneider, Rich; darlenefrancis@berkeley.edu; agboola@math.ucsb.edu; jglater@law.uci.edu
Cc:	Kenneth Feer; Fredye Harms; Brenda Abrams; Miller, Joanne; Andrea Green Rush (agreenrush@berkeley.edu); cherysa.cortez@ucr.edu; debra.blake@senate.ucsb.edu; Edwin Arevalos; Kate Brigman; Laura Martin; Mohr, Linda; Matthew Mednick; Ray Rodriguez; Todd Giedt
Subject:	(Systemwide Senate Review) Second Systemwide Review of Proposed Presidential Policy on Open Access for Theses and Dissertations
Date:	Thursday, November 29, 2018 10:55:01 AM
Attachments:	11_28_18_Second_Systemwide_Rev_Cvr_Ltr_Open_Access_Theses_and_Dissertati....pdf Open Access Policy for Theses and Dissertations 11-28-18 clean.pdf Open Access Policy for Theses and Dissertations 11-28-18 redline.pdf FAQs for ETD Policy Second Systemwide Review 11-28-18.pdf Campus electronic theses and dissertations policies and practices 11-28-....pdf

CHAIRS OF SENATE DIVISIONS AND COMMITTEES:

On behalf of Senate Chair May, I am forwarding for systemwide Senate review the attached Proposed Presidential Policy on Open Access for Theses and Dissertations. This is the second systemwide review of this policy. You may wish to refer to the commentary produced by the Academic Council, Senate divisions, and systemwide committees last year in response to the first systemwide review of this policy: https://senate.universityofcalifornia.edu/_files/reports/SW-SC-Open-Access-Theses-Dissertations.pdf

Please submit comments to the Academic Senate office at SenateReview@ucop.edu by **March 13, 2019** to allow us to compile and summarize comments for the Academic Council's March 20 meeting. As always, any committee that considers these matters outside its jurisdiction or charge may decline to comment.

Thanks very much, Michael

_____

Michael LaBriola
Principal Policy Analyst
Systemwide Academic Senate
510.987.0162

From: Gina Durrin <Gina.Durrin@ucop.edu> **On Behalf Of** Susan Carlson
Sent: Wednesday, November 28, 2018 1:47 PM
Subject: Second Systemwide Review of Proposed Presidential Policy on Open Access for Theses and Dissertations

To: Chancellors
LBNL Director Witherell
Academic Council Chair May
ANR Vice President Humiston

Graduate Deans
Council of University Librarians

From: Vice Provost Carlson

Re: Second Systemwide Review of Proposed Presidential Policy on Open Access for Theses and Dissertations

I am forwarding on behalf of Provost and Executive Vice President Michael T. Brown proposed new Presidential Policy on Open Access for Theses and Dissertations for Second Systemwide Review.

Systemwide Review is a public review distributed to the University leaders requesting that they inform the general University community, affected employees, and unions' membership about policy proposals. Systemwide Review also includes a mandatory full Senate review for at least 90 days.

All employees—faculty, academic appointees, student employees, administrators, and staff—should be afforded the opportunity to review and comment on the draft new policy, available online at: http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html. Note that Academic Affairs staff will ensure that graduate students and graduate student bodies have an opportunity to review the proposed policy.

Review materials attached include FAQs as well as the summary of related campus policies on theses and dissertations. Attached as well is a Model Communication that may be used to inform non-exclusively represented employees affected by these proposals. Our colleagues in UCOP Labor Relations will inform the collective bargaining units by way of their usual processes.

Please submit comments and feedback on the proposed draft policy to ADV-VPCARLSON-SA@ucop.edu by **April 10, 2019**. Questions may be directed to Patricia Osorio-O'Dea at Patricia.Osorio-Odea@ucop.edu or (510) 587-6147.

Attachments: November 28, 2018 Second Systemwide Review Cover Letter from Provost Brown
Draft New Presidential Policy on Open Access for Theses and Dissertations (clean and redline copies)
Model Communication
FAQs for Open Access for Theses and Dissertations Policy
Appendix A: Specific Campus Policies and Practices Related to Open Access for Theses and Dissertations

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OFFICE OF THE PROVOST AND
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

November 28, 2018

CHANCELLORS
LBNL DIRECTOR MIKE WITHERELL
ACADEMIC COUNCIL CHAIR ROBERT MAY
ANR VICE PRESIDENT GLENDA HUMISTON
GRADUATE DEANS
COUNCIL OF UNIVERSITY LIBRARIANS

Re: Second Systemwide Review of Proposed Presidential Policy on Open Access for Theses and Dissertations

Dear Colleagues:

Enclosed for its second systemwide review is the UC Open Access for Theses and Dissertations Policy. UCOP distributed this draft presidential policy for its first systemwide review on December 1, 2017.

This policy was developed in response to a March 2016 request from the Systemwide Library and Scholarly Information Advisory Committee (SLASIAC), which advises on academic copyright-related matters, systemwide library policies, and strategies to facilitate the transmissions of scholarly communications in a digital environment. There are two other systemwide UC open access policies designed to ensure access to UC-affiliated scholarly research: one for members of the Academic Senate and the other for all non-Academic Senate authors who have written scholarly articles while employed at UC (non-Senate academic appointees and staff members). These policies specifically address published scholarly articles. However, to date there is no systemwide uniformity or policy for ensuring electronic open access to UC graduate students' theses and dissertations.

With this systemwide policy, UC obtains a limited license to permit electronic theses or dissertations authored by UC graduate students to be available in an open access repository. This policy updates the prevailing norm from the previous century of having physical copies of theses and dissertations on library shelves. Under the proposed policy, each campus or location will be responsible for submitting theses and dissertations to the California Digital Library, which will make them publicly available via its eScholarship digital repository. Additionally, this policy brings theses and dissertations into the overall framework of UC's other open access policies, which currently direct all UC faculty members, academic appointees, and staff members to provide a similar "open access" license to UC for scholarly articles written while they are employed at UC. As detailed below, the updated policy is responsive to comments received during the first systemwide review.

Comments Submitted in First Systemwide Review

Over 65 submissions were made in response to the draft policy during the first systemwide review. Respondents included systemwide and divisional Academic Senate units; individual faculty and faculty associations; current and former graduate students; and campus administrators. Reviewers and commenters provided a number of different suggestions for improving the draft policy. Below is a summary of key issues raised and how the revised draft policy is responsive to those comments.

Length of Embargo Period

There were many concerns about the embargo period and multiple suggestions for alternate embargo periods and approval processes. Taking SLASIAC's advice, the Systemwide Electronic Theses and Dissertations (ETD) Policy Task Force was asked to consider including a two-year embargo period (delaying availability of a thesis or dissertation in an open access repository for up to two years after completion), with the possibility of an extension. The initial draft policy circulated during the first systemwide review included language allowing for up to a two-year embargo period with the possibility of an extension upon "compelling circumstances," with the Dean of the Graduate Division having the authority to grant the extension. Any appeals would go to the local Graduate Council.

Numerous commenters called for an extended embargo period, citing that the two-year period with a high standard for renewal could harm a graduate student's ability to publish as part of an academic career, particularly in the humanities and social sciences. Additionally, it was pointed out that some publishers are reluctant to publish manuscripts from dissertations available in an open access repository.

Many of those responding suggested a five- or six-year embargo and pointed to some current campus policies that allow for such an extended period. Appendix A contains current policy at the ten campuses. The majority of campuses have in place a two-year embargo provision with the possibility of an extension – the two outliers include a campus that allows for a one year embargo (San Francisco) and another that allows up to a six-year embargo (Irvine). Please refer to the attached Appendix to review existing policies and practices at the campuses.

In recognition of existing campus policies and practices, the Presidential draft policy has been revised to include language that allows up to a two-year embargo initially, with the possibility for additional renewals of up to two years each. The updated policy also makes an extended embargo a more routine administrative action, as described below.

Approval of Extended Embargo Period

The revised draft policy clarifies that a graduate dean (or delegee) may extend the embargo for additional two-year periods upon receiving a letter of request from the dissertation chair or other appropriate authority overseeing the thesis or dissertation at issue, such as a Principal Investigator (PI). Previously, the policy authorized graduate deans to grant embargoes of longer than two years "upon compelling circumstances" or embargoes requested after filing. Commenters pointed out that language regarding "compelling circumstances" was unclear. The revised draft policy now clarifies how requests for embargo extensions shall be made and creates a consistent process for all campuses.

Opt In and Opt Out Provisions

Some respondents noted that graduate students should be allowed to decide how they want their work to be disseminated – to opt in or to opt out of electronic open access publication for their theses and dissertations. The requirement in draft policy that the works be publically available remains in line with current campus policies on theses and dissertations.

Timing of First Systemwide Review
Many respondents expressed concerns about the timing of the first systemwide review. Others were concerned that graduate students were not uniformly aware of the policy review. During the first systemwide review, the review period was extended by a month to accommodate these concerns. In addition, during this second systemwide review, we will ensure that graduate students receive this notice so that they have ample opportunity for comment.

Campus Policies
This revised draft policy also includes new language to recognize related campus policies. A summary of campus policies and practices can be found in the attached Appendix A.

Systemwide Review Process
Systemwide Review is a public review distributed to the University leaders requesting that they inform the general University community, affected employees, and unions' membership about policy proposals. Systemwide Review also includes a mandatory full Senate review for at least 90 days.

All employees—faculty, academic appointees, student employees, administrators, and staff—should be afforded the opportunity to review and comment on the draft new policy, available online at: http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html. Note that Academic Affairs staff will ensure that graduate students and graduate student bodies have an opportunity to review the proposed policy.

Review materials include FAQs as well as the summary of related campus policies on theses and dissertations.

Attached as well is a Model Communication that may be used to inform non-exclusively represented employees affected by these proposals. Our colleagues in UCOP Labor Relations will inform the collective bargaining units by way of their usual processes.

Please submit comments and feedback to the enclosed policy by April 10, 2019 to ADV-VPCARLSON-SA@ucop.edu (email address is not case-sensitive).

Questions may be directed to Patricia Osorio-O'Dea at Patricia.Osorio-Odea@ucop.edu or 510-587-6147. Thank you for your attention and feedback on this revised draft of the new Presidential Policy.

Sincerely,

Michael T. Brown, Ph.D.
Provost and
Executive Vice President for Academic Affairs

Attachments

cc: President Napolitano
Executive Vice Chancellors/Provosts
President's Advisory Group
Executive Vice President and Chief of Staff Nava

Senior Vice President Bustamante
Vice President Duckett
Vice President Ellis
Vice President Holmes-Sullivan
Vice Provost Carlson
Vice Provost Gullatt
Vice Provosts/Vice Chancellors of Academic Affairs/Academic Personnel
Deputy General Counsel Woodall
Executive Director Baxter
Executive Director Chester
Executive Director Jennings
Executive Director Peterson
Academic Personnel Directors
Chief of Staff and Director Henderson
Chief of Staff Levintov
Director Grant
Director Lee
Director Osorio-O'Dea
Manager Donnelly
SLASIAC members
Systemwide ETD Policy Task Force

Open Access for Theses and Dissertations

University of California – Policy [Policy Number]

Responsible Officer:	Provost & EVP - Academic Affairs
Responsible Office:	RG - Research & Graduate Studies
Issuance Date:	
Effective Date:	
Last Review Date:	
Scope:	This policy applies to all graduate students who prepare theses or dissertations in a graduate degree program within the University of California system.

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Contact:	Pamela Jennings
Title:	Executive Director, Graduate Studies
Email:	Pamela.Jennings@ucop.edu
Phone #:	(510) 987-9446

I. POLICY SUMMARY

The University of California ("University") is committed to disseminating research and scholarship conducted at the University as widely as possible. Such commitment encompasses the scholarship generated by the University's graduate students. The University affirms the long-standing tradition that theses and dissertations, which represent significant contributions to the advancement of knowledge and the scholarly record, should be shared with scholars in all disciplines and the general public. To that end, this policyextends the principles of the University's existing open access policies – including the Academic Senate's policy dated July 24, 2013 and the systemwide Presidential policy dated October 23, 2015, and local open access policies already adopted at some University campuses – to theses and dissertations prepared by the University's graduate students at all University locations. This policy requires theses or dissertations prepared at the University to be (1) deposited into an open access

repository, and (2) freely and openly available to the public, subject to a requested delay of access ("embargo") obtained by the student. The policy does not affect students' copyright ownership rights in their theses or dissertations.

II. DEFINITIONS

Embargo is the delay in open access availability of a thesis or dissertation after its completion and deposit in an open access repository.

Graduate students refer to the University's graduate academic and graduate professional students.

Nonexclusive license refers to a limited grant of rights to permit others to use a copyrighted work (e.g., thesis or dissertation) in specified ways, while not preventing copyright owners from exploiting for themselves – or granting to others – the same or other copyright rights.

Open access refers to the free and easy availability of scholarly works on the internet, permitting users to read, download, print, search, or link to the full texts of copyrightable scholarly works for any lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet.

Open access repository refers to any digital archive or platform designed to make scholarly works freely accessible via the internet. The California Digital Library's eScholarship platform is the default repository for this policy.

University refers to The Regents of the University of California, also known as the "University of California."

III. POLICY TEXT

A. Scope

This policy applies to all graduate students who author a thesis or dissertation as part of their University graduate degree requirements and following issuance of this policy. Upon express direction of the graduate student, the open access license in the next paragraph may be delayed for a specified period of time pursuant to Section III.D below. This policy does not affect copyright ownership of any thesis or dissertation.

B. Open Access License Grant

Each graduate student grants to the University a worldwide, nonexclusive license to exercise all relevant rights under copyright – including the reproduction and public display rights – for the purpose of making the student's thesis or dissertation authored at the University freely and publicly available in an open access repository in any medium.

C. Submission of Theses and Dissertations

To assist the University in archiving and openly disseminating theses and dissertations within the scope of this policy, all of the University's graduate students will submit the final version of the student's thesis or dissertation to the University before conferral of the student's graduate degree, regardless of whether an embargo is obtained. Such thesis or dissertation will be made freely and openly available to the public after filing, unless the graduate student obtains an embargo pursuant to Section III.D below.

D. Delay of Open Access / Embargo

Graduate students may delay the date their theses or dissertations become available in an open access repository by specifying the embargo period of up to two years upon filing. A Graduate Dean (or delegee of the Dean) may extend the embargo for additional two-year periods upon receiving a letter of request from the dissertation chair (or other appropriate authority overseeing the thesis or dissertation at issue) for each two-year embargo extension request. The letter should state the reason for requesting the embargo extension. Examples of circumstances justifying embargo extensions include, among other reasons: (a) a publisher's requirement of an embargo in connection with the publication of a manuscript derived from the thesis or dissertation, or (b) an inability to obtain a patent due to the disclosure of patentable inventions in the thesis or dissertation.

Upon extraordinary circumstances (such as a high legal or safety risk to the graduate student), an indefinite embargo may be granted for as long as such extraordinary circumstances exist pursuant to Section IV below.

IV. COMPLIANCE / RESPONSIBILITIES

A. Authority

The Provost and Executive Vice President for Academic Affairs is the responsible officer for this policy and has the ultimate authority to interpret and implement the policy as well as to develop procedures or other supplementary information. The Deans of the Graduate Division (or delegees of the Deans) for each campus or location are the responsible officers for this policy at the local level. They have the authority to develop local policies, guidelines, and implementation procedures not inconsistent with the systemwide policy. If an existing local policy provides embargo periods of a different length compared to the periods specified above, such local policy's embargo periods may continue to apply.

B. Compliance with the Policy

The Dean of the Graduate Division (or delegee of the Dean) for each campus or location is responsible for local communication, compliance, and enforcement of this policy. The

Deans (or their delegees) are authorized to grant: (1) embargoes requested post-filing of the thesis or dissertation; and (2) embargo extensions and an indefinite embargo, as set forth in Section III.D. above.

Each campus or location is responsible for providing theses or dissertations to the California Digital Library ("CDL"), and CDL is responsible for maintaining the open access repository and ensuring that the theses and dissertations within the repository are freely and openly available to the public. The Deans (or their delegees) will work with CDL, the Office of Scholarly Communication, and/or the University Librarians to support compliance with this policy and to obtain information to assess compliance.

V. PROCEDURES

Not applicable.

VI. RELATED INFORMATION

- UC's Presidential Policy on Open Access (Oct. 23, 2015)
- UC's Academic Senate Policy on Open Access (July 24, 2013)
- UC Open Access Policy website
- UC's Presidential Policy on Copyright Ownership (Aug 19, 1992)
- UC's "Copyright" website

VII. FREQUENTLY ASKED QUESTIONS

UC's Office of Scholarly Communication Open Access Policy FAQ

VIII. REVISION HISTORY

N/A

Open Access for Theses and Dissertations

University of California – Policy [Policy Number]

Responsible Officer:	Provost & EVP - Academic Affairs
Responsible Office:	RG - Research & Graduate Studies
Issuance Date:	
Effective Date:	
Last Review Date:	
Scope:	This policy applies to all graduate students who prepare theses or dissertations in a graduate degree program within the University of California system.

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VIII. REVISION HISTORY 4

Contact:	Pamela Jennings
Title:	Executive Director, Graduate Studies
Email:	Pamela.Jennings@ucop.edu
Phone #:	(510) 987-9446

I. POLICY SUMMARY

The University of California ("University") is committed to disseminating research and scholarship conducted at the University as widely as possible. Such commitment encompasses the scholarship generated by the University's graduate students. The University affirms the long-standing tradition that theses and dissertations, which represent significant contributions to the advancement of knowledge and the scholarly record, should be shared with scholars in all disciplines and the general public. To that end, this policy extends the principles of the University's existing open access policies – including the Academic Senate's policy dated July 24, 2013 and the systemwide Presidential policy dated October 23, 2015, and local open access policies already adopted at some University campuses – to theses and dissertations prepared by the University's graduate students at all University locations. This policy requires theses or dissertations prepared at the University to be (1) deposited into an open access

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repository, and (2) freely and openly available to the public, subject to a requested delay of access ("embargo") obtained by the student. The policy does not affect students' copyright ownership rights in their theses or dissertations.

II. DEFINITIONS

Embargo is the delay in open access availability of a thesis or dissertation after its completion and deposit in an open access repository.

Graduate students refer to the University's graduate academic and graduate professional students.

Nonexclusive license refers to a limited grant of rights to permit others to use a copyrighted work (e.g., thesis or dissertation) in specified ways, while not preventing copyright owners from exploiting for themselves – or granting to others – the same or other copyright rights.

Open access refers to the free and easy availability of scholarly works on the internet, permitting users to read, download, print, search, or link to the full texts of copyrightable scholarly works for any lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet.

Open access repository refers to any digital archive or platform designed to make scholarly works freely accessible via the internet. The California Digital Library's eScholarship platform is the default repository for this policy.

University refers to The Regents of the University of California, also known as the "University of California."

III. POLICY TEXT

A. Scope

This policy applies to all graduate students who author a thesis or dissertation as part of their University graduate degree requirements and following issuance of this policy. Upon express direction of the graduate student, the open access license in the next paragraph may be delayed for a specified period of time pursuant to Section III.D below. This policy does not affect copyright ownership of any thesis or dissertation.

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B. Open Access License Grant

Each graduate student grants to the University a worldwide, nonexclusive license to exercise all relevant rights under copyright – including the reproduction and public display rights – for the purpose of making the student's thesis or dissertation authored at the University freely and publicly available in an open access repository in any medium.

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C. Submission of Theses and Dissertations

To assist the University in archiving and openly disseminating theses and dissertations within the scope of this policy, all of the University's graduate students will submit the final version of the student's thesis or dissertation to the University before conferral of the student's graduate degree, regardless of whether an embargo is obtained. Such thesis or dissertation will be made freely and openly available to the public after filing, unless the graduate student obtains an embargo pursuant to Section III.D below.

D. Delay of Open Access / Embargo

Graduate students may delay the date their theses or dissertations become available in an open access repository by specifying the embargo period of up to two years upon filing. A Graduate Dean (or delegee of the Dean) may extend the embargo for additional two-year periods upon receiving a letter of request from the dissertation chair (or other appropriate authority overseeing the thesis or dissertation at issue) for each two-year embargo extension request. The letter should state the reason for requesting the embargo extension. Examples of circumstances justifying embargo extensions include, among other reasons: (a) a publisher's requirement of an embargo in connection with the publication of a manuscript derived from the thesis or dissertation, or (b) an inability to obtain a patent due to the disclosure of patentable inventions in the thesis or dissertation.

Upon extraordinary circumstances (such as a high legal or safety risk to the graduate student), an indefinite embargo may be granted for as long as such extraordinary circumstances exist pursuant to Section IV below.

IV. COMPLIANCE / RESPONSIBILITIES

A. Authority

The Provost and Executive Vice President for Academic Affairs is the responsible officer for this policy and has the ultimate authority to interpret and implement the policy as well as to develop procedures or other supplementary information. The Deans of the Graduate Division (or delegees of the Deans) for each campus or location are the responsible officers for this policy at the local level. They have the authority to develop local policies, guidelines, and implementation procedures not inconsistent with the systemwide policy. If an existing local policy provides embargo periods of a different length compared to the periods specified above, such local policy's embargo periods may continue to apply.

B. Compliance with the Policy

The Dean of the Graduate Division (or delegee of the Dean) for each campus or location is responsible for local communication, compliance, and enforcement of this policy. The

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Deans (or their delegees), are authorized to grant: (1) embargoes, requested post-filing of the thesis or dissertation; and (2) embargo extensions and an indefinite embargo, as set forth in Section III.D. above.

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Deleted: longer than two years or embargoes requested after filing to those graduate students within their jurisdiction. Appeals of decisions made under this Section IV.B may be made to the relevant Graduate Council.

Each campus or location is responsible for providing theses or dissertations to the California Digital Library ("CDL"), and CDL is responsible for maintaining the open access repository and ensuring that the theses and dissertations within the repository are freely and openly available to the public. The Deans (or their delegees) will work with CDL, the Office of Scholarly Communication, and/or the University Librarians to support compliance with this policy and to obtain information to assess compliance.

V. PROCEDURES

Not applicable.

VI. RELATED INFORMATION

- UC's Presidential Policy on Open Access (Oct. 23, 2015)
- UC's Academic Senate Policy on Open Access (July 24, 2013)
- UC Open Access Policy website
- UC's Presidential Policy on Copyright Ownership (Aug 19, 1992)
- UC's "Copyright" website

VII. FREQUENTLY ASKED QUESTIONS

UC's Office of Scholarly Communication Open Access Policy FAQ

VIII. REVISION HISTORY

N/A

FAQs for Open Access for Theses and Dissertations Policy

What is an open access repository?

An open access repository is a digital platform that stores various types of scholarly works and makes such works available for free and for anyone to consult, reference, and download. The University of California's open access repository is called "eScholarship" (http://eScholarship.org/), which is a service of the California Digital Library.

Does this policy affect copyright ownership in my thesis or dissertation?

No. This policy does *not* affect or transfer your ownership of copyright or intellectual property rights in your thesis or dissertation. This policy simply provides a limited license to make your thesis or dissertation publicly available in an open access repository (e.g., eScholarship).

Can I delay the release of my thesis or dissertation in an open access repository?

Yes. Most students want to make their theses or dissertations publicly available as soon as possible and as widely as possible. However, some may want to delay (i.e., "embargo") the date that their theses or dissertations become available in an open access repository. If, for example, the thesis or dissertation discloses a novel process or invention for which a patent may be sought, an embargo on the public release of the ` thesis or dissertation may be appropriate. (See next FAQ for more information.)

Under this policy, an initial embargo period of up to two years may be obtained upon filing. Graduate Deans may grant embargo extensions beyond the initial two years. Please see Section III.D ("Delay of Open Access / Embargo") of the policy.

What does the University of California gain by this thesis/dissertation policy?

A doctoral dissertation or master's thesis represents the culmination of a degree program at UC, an institution with fundamental missions of teaching, research, and public service. These works document a graduate student's contribution to academic research in a specific discipline. Key to this contribution is the presentation of research results that reflect the highest degree of scholarship and adherence to disciplinary norms.

By virtue of this policy, UC obtains a limited license to permit electronic theses or dissertations authored by UC graduate students to be available in an open access repository. Libraries used to maintain hard copies of theses/dissertations on library shelves or microfilm. UC has moved away from this model over the past 20 years, making theses and dissertations available digitally through a commercial scholarly database (ProQuest Dissertations and Theses) and the university's open access repository. Most UC campuses already provide immediate online public access to theses and dissertations as a default, and require special approval for embargoes longer than two years. This policy is intended to improve uniformity and clarity about the processes and expectations around open access to theses and dissertations.

Aren't there other systemwide UC open access policies already in existence? If so, what are the key differences between those other open access policies and this one for theses and dissertations?

Yes, there are at least two other systemwide UC open access policies: one for the Academic Senate members only, and the other is the Presidential Open Access Policy, applicable to all non-Academic Senate authors who have written scholarly articles while employed at UC (including non-Academic Senate faculty and staff members). These policies are specifically directed to *published* scholarly articles. On the other hand, the Open Access for Theses and Dissertations Policy is limited to graduate students' theses and dissertations, most of which will not have been previously published in journals or in similar publications, but instead represent the original contribution to scholarship resulting in their being awarded a graduate degree by UC. For more information about the existing UC open access policies, please see: http://osc.universityofcalifornia.edu/open-access-policy/index.html.

What if my thesis or dissertation contains patentable subject matter, and I have not yet filed a patent application or obtained a patent on this subject matter?

In most cases, an embargo for one or two years is sufficient. Under current patent law, an inventor has up to one year from the time he or she publicly discloses an invention within which to file a patent application. So even in the absence of an embargo, one could publicly disclose a patentable invention in a thesis or dissertation (or elsewhere) and, within one year, still apply for a patent. If two years is not sufficient, a student can follow the procedure to extend the embargo.

What if my thesis or dissertation incorporates works of other copyright owners?

Whether works by others can be incorporated in a piece of scholarship shared on the web varies according to the individual circumstances. This is not a new issue - theses and dissertations have been shared worldwide for years, including in ProQuest databases. Many in-depth resources exist to help students and advisors work through these issues - see the UC Berkeley Library's guide to Copyright and Publishing Your Dissertation and Copyright and Your Dissertation or Thesis: Ownership, Fair Use, and Your Rights and Responsibilities by Kenneth Crews.

Will journal or book publishers consider publishing my thesis/dissertation if it is already available in an open access repository, like eScholarship?

Policies and practices of publishers vary; most scholarly publishers do not bar publication of articles or books that are based on theses or dissertations available in an open access repository, especially if there are substantive differences between the thesis/dissertation and the final work published by the publisher. This is partly because most publishers consider theses and dissertations to be "student works" that will require substantial editing and revision before being published in article or book form. Students working with a publisher that objects to an earlier version of a proposed publication may

obtain an embargo or embargo extension by following the embargo procedures.

Does this Open Access for Theses and Dissertations Policy allow commercial use by eScholarship users or other end users?

No, unless the author of the thesis/dissertation chooses to allow commercial reuse. The default for all deposited theses/dissertations is the default under copyright law – all rights are reserved by the copyright owner (e.g., the graduate student authors), with exceptions for things like fair use. In other words, end users cannot simply reproduce your thesis/dissertation and distribute your work without your permission, except as permitted under copyright law (e.g., fair use). Alternatively, authors may choose to grant eScholarship users and other end users reuse permissions, including commercial reuse, by choosing a Creative Commons license for their thesis/dissertation at the time of deposit, if their campus submission form supports these licenses.

How do I actually deposit my thesis/dissertation into an open access repository, like eScholarship?

Deposit of the thesis/dissertation in the open access digital repository takes place as part of the procedure for filing your finalized dissertation. Filing procedures are governed by the policies and procedures of your UC campus. Please refer to your Graduate Division for information about the filing procedures at your specific campus.

What if I have further questions about this Open Access for Theses and Dissertations Policy?

Check with your advisor or department chair. If they are unable to answer your questions, the Deans of the Graduate Division (or the delegees of the Dean) for each campus are the responsible officers for this policy – including communications and compliance – at the local level.

Appendix A:
Specific Campus Policies and Practices Related to Open Access for Theses and Dissertations
Updated as of November 2018

(Relevant sections included below)

UC Berkeley – Specific policy – Electronic submission required; 2 year embargo by default, longer by request

http://grad.berkeley.edu/policy/degrees-policy/

F4. Policies Affecting Both Master's and Doctoral Students

Preparing and Submitting the Dissertation or Thesis Manuscript

All doctoral dissertations and master's theses are to be submitted electronically. All of the requirements for preparing the manuscript for submission are provided in the dissertation filing guidelines, published separately on the Graduate Division website. Master's theses filing guidelines are also provided separately.

Withholding a Dissertation or Thesis

By default, dissertations are withheld from the UC Berkeley Library & ProQuest/UMI for 2 years. Occasionally, there are unusual circumstances in which students prefer that their thesis or dissertation not be published for a longer period of time. Such circumstances may include the disclosure of patentable rights in the work before a patent can be granted, similar disclosures detrimental to the rights of the author, or disclosures of facts about persons or institutions before professional ethics would permit. The Dean of the Graduate Division may permit the dissertation to be held for longer than 2 years, under substantiated circumstances of the kind indicated and with the endorsement and explanation from the chair of the dissertation or thesis committee.

UC Davis – Specific policy – Electronic submission required; up to two years embargo, longer by request

https://grad.ucdavis.edu/sites/default/files/upload/users/etd_policy_gc2010-01_approved.pdf

UC DAVIS GRADUATE COUNCIL POLICY GC2010 – 01

Mandatory Electronic Filing of Theses and Dissertations Approved – June 7, 2010

Thesis and Dissertation Submission

Effective September 20, 2010, for all degrees to be awarded on the Fall 2010 degree list and thereafter, theses and dissertations (hereafter referred to as manuscripts) submitted to the Office of Graduate Studies must be filed electronically using the ProQuest-UMI Electronic Thesis and Dissertation (ETD) Administrator. These manuscripts must meet all formatting requirements as outlined on the ProQuest-UMI ETD Administrator web site at http://www.etdadmin.com.

Students will continue to complete the agreement form and Copyright forms, where applicable, with ProQuest-UMI through the ProQuest-UMI ETD Administrator web site. In addition, students must meet with Office of Graduate Studies staff to submit required forms and an original signature page to complete the filing process.

Embargo Options

Theses and dissertations are held by Graduate Studies until the degree list for the current quarter has been approved. Thus, there is an inherent 2-4 month delay between the time the manuscript is submitted and its electronic publication by ProQuest-UMI. **With the agreement of their major professor**, students may also elect to formally embargo electronically submitted manuscripts for a period of six months, one year or two years without the need to obtain prior Graduate Council approval. Students may request to embargo the manuscript for a period of more than two years, but not to exceed five years. Such requests for exception to policy must be submitted to Graduate Council for review and approval.

In selecting an embargo period, students are urged to consider the implications of electronic availability of theses and dissertations with respect to prior publication restrictions of journal and book publishers as well as patent protections of new ideas. Concerns about protecting disclosure of information must be balanced against the public's expectations of access to new knowledge.

The Abstract-Only option offered by ProQuest-UMI is effectively a permanent embargo of the manuscript and is eliminated as an option. In general, a permanent embargo is not consistent with the mission of a public research university, which has a responsibility to share research outcomes with the public. In unusual circumstances, a student may request to permanently embargo his or her manuscript by submitting a petition for exception to Graduate Council for review and approval.

Any request to embargo the manuscript, for any period of time, must include a written endorsement from the student's dissertation committee chair. A request to permanently embargo a manuscript must include endorsement by the chair of the graduate program.

The Office of Graduate Studies will notify the University Library of any approved embargo of the manuscript for any period of time.

UC Irvine – Specific policy – Electronic submission optional. Embargo allowed for up to six years, longer with specific documentation and request. Suggests paper submission as good option for MFA students not wanting their dissertations online.

https://etd.lib.uci.edu/electronic/td6e

UCI Theses and Dissertations Manual - 6. Electronic Doctoral Dissertation and Master's Thesis Submission Procedures

- 6.1 Submitting Electronically the Doctoral Dissertation or Master's Thesis
- 6.2 UCI Open Access Service

UCI allows Doctoral students and Master students to submit their dissertation or thesis electronically via the UMI ETD system. All required and optional paper forms need to be submitted to the Graduate Division, 120 Aldrich Hall by the submission deadline.

Electronic submissions of a doctoral dissertation or master's thesis must follow all formatting requirements set forth in the manual. It is the responsibility of the student to ensure that the doctoral dissertation or master's thesis appears as originally intended when it is accessed or printed. An original Ph.D. Form II/Signature page or Master's thesis/Signature page, with committee signatures and other signatures (as appropriate) must be submitted to the Graduate Division with all other final degree paperwork. The manuscript submitted electronically (ETD) should not include a signature page.

6.1. Submitting Electronically the Doctoral Dissertation or Master's Thesis

Electronic doctoral dissertations and master's theses must be submitted via the UCI ETD Dissertation Submission Site. [Note that this page has a login and steps to proceed in submission of documents]

Once the log-in is successful, students follow the instructions and links. In addition to properly formatting your doctoral dissertation or master's thesis, you will need to choose one of four publishing options. Please see the options site for details on the four options and discuss them with your committee chair. Current UC Irvine policy requires immediate release of doctoral dissertations and master's theses. If you wish to delay publication with an embargo, you must complete the embargo section of the Ph.D. Form II/Signature page or the Master's Thesis Signature Page.

Options for the period of time an embargo may be granted are: 6 months, 1-6 years and by exception, an option to request more than 6 years. For this option, you must attach a brief memo of explanation addressed to the Graduate Dean. The student's acceptance of the Submission Agreement and ProQuest Release is required in order to submit the electronic doctoral dissertation or master's thesis. These agreements contain standard language that is also part of the paper contract that one would sign while filing a paper doctoral dissertation or master's thesis. Students click on "Accept" to agree to these terms.

6.2. UCI Open Access Service

It is the policy of the University of California, Irvine that dissertations and theses be published and made available for public access. [In June 2000, Graduate Council voted unanimously to reaffirm the requirement that dissertations be published and made available for public use.] Electronic copies of all UCI theses and dissertations submitted to the ETD system will be routed to the UCI Libraries shortly after the formatting of your manuscript has been accepted by University Archives. The Libraries will preserve and make accessible to the public all theses and dissertations submitted electronically, in accordance

with the Libraries policies and best practices. Such access includes online public access through the University of California's open access repository eScholarship. Providing such access increases the availability and dissemination of your work at no charge to you, a benefit UMI/ProQuest will provide only for a fee. If you request an embargo (see Section 6.1 above) and that request is approved, the Libraries will honor the embargo and provide access to the dissertation and or thesis only when the embargo period concludes. With that embargo, the ETD is not cataloged for the UCI Libraries collection nor published by UMI/ProQuest in their databases nor made available in eScholarship until after the embargo period concludes. All students who submit an ETD must complete and sign the "Open Access" agreement form, which is part of the Ph.D. Form II/Signature Page and Master's Thesis signature page.

Students may still submit their thesis or dissertation in paper rather than as an ETD. Paper theses and dissertations will not be made available in eScholarship. Masters theses submitted in paper are bound and made available for circulation, but they are not available online. This is a good option for MFA students who do not want their theses distributed on the web. Paper dissertations are still sent to ProQuest, where they are scanned for inclusion in the ProQuest Digital Dissertations Database. Distribution is limited and available exclusively through UMI/ProQuest. In order to gain access to a UCI ETD online, a researcher must be affiliated with an institution that subscribes to a full-text option in ProQuest. The full-text options are very expensive, and few universities subscribe. Most institutions subscribe to the abstract and index product. The UC system subscribes to the abstract and index product, but we pay extra to include UC full text dissertations from 1997 to the present; access is restricted to authorized UC users.

UCLA – Specific policy – Electronic submission required; embargo up to 2 years, longer by exception

https://grad.ucla.edu/etd/disseminationpolicy.pdf

UCLA Graduate Thesis and Dissertation Public Dissemination Policy
Approved by UCLA Graduate Council on May 15, 2015

Affirmation of Open Access

The submission of a thesis or dissertation is the last step in an academic program leading to the award of a graduate degree. The manuscript is a scholarly presentation of the results of the graduate student's research and/or creative work. UCLA requires that research and scholarly work conducted by graduate students and incorporated into theses and dissertations be made publicly available through the University of California's institutional repository, eScholarship (http://escholarship.org/). The UCLA Graduate Council hereby affirms the principle that graduate students have a responsibility to share their work with scholars in all disciplines and the general public, and stands by the University's commitment to ensuring open access to master's theses and doctoral dissertations. The policy of the University of California is that graduate students own the copyright to their original works of authorship. The license granted to UCLA as required by the Thesis and Dissertation Public Dissemination policy is fully consistent with University copyright policy. (See http://copyright.universityofcalifornia.edu/.)

Public Dissemination

As one of the requirements for conferral of a degree, a graduate student must submit his/her thesis or dissertation to UCLA through both ProQuest (www.proquest.com) and the institutional repository eScholarship (http://escholarship.org/). ProQuest and the institutional repository make the manuscript available several months after the graduate student submits it. A graduate student must adhere to the Graduate Council policy regarding delayed public dissemination (also known as an "embargo") in both ProQuest And UC eScholarship.

Upon submission of his or her thesis or dissertation as a requirement for conferral of the degree, the graduate student shall grant a nonexclusive, worldwide, royalty-free, perpetual license to The Regents of the University of California ("University") as set forth in the UCLA Thesis and Dissertation Submission Agreement, a copy of which is provided as Attachment A.

Delayed Public Dissemination (Embargo) Requests

Policy
Delayed public dissemination, commonly known as an "embargo," postpones public distribution of the thesis or dissertation that has been approved and filed with the University. In some cases, it may be reasonable and appropriate to put in place an embargo that delays public release, but only in narrowly prescribed circumstances affecting intellectual property rights (such as when a patent is being filed), to satisfy requirements for the review of grant-sponsored research, or to protect data being utilized by a team of researchers of which the graduate was a member. Such an embargo must be limited in time.
If delayed public dissemination is necessary due to the purposes set forth in the previous paragraph, a graduate student should select this option when uploading the thesis or dissertation to ProQuest. The delayed release requested at the time of submission will postpone public distribution of a thesis or

dissertation via both ProQuest and UC eScholarship. Students may request embargoes for 6 months, 1 year or 2 years; longer time periods considered by exception.

If a thesis or dissertation has a delayed release, ProQuest and UC eScholarship will display only the graduate's citation and abstract for the duration of the embargo. The full text of the graduate's thesis or dissertation will become available for public access only after the embargo expires. The California Digital Library will archive and preserve the manuscript in perpetuity.

Exception Requests for Extended Embargoes

Under rare circumstances and prior to the filing of the thesis or dissertation, the Dean of the Graduate Division may approve requests for time-delimited embargoes beyond the two-year limit. A request for such an exception to UCLA policy should be made as soon as the graduate student's master's or doctoral committee is aware of the need to do so. The Graduate Division is the first point of contact for exception requests, forwarding any approved exceptions to the Library as applicable. The graduate student and her/his committee chair must submit a formal request for a time-delimited extended embargo using the Request for Extended Delayed Release form available from the Graduate Division. The request must be made prior to filing the thesis or dissertation. Each request will be evaluated on a case-by-case basis.

The Graduate Division's review of such requests will take the following factors into consideration:

- Are there serious mitigating circumstances whereby publication of the thesis or dissertation would cause undue risks or potential harm to the author or subjects?

- Will the data generated through the student's research support other in-progress publications from people on the student's research team, which could be impacted by public dissemination?

- Is the student applying for a patent based on research that is discussed in his/her dissertation?

- Is the data or material in the thesis/dissertation subject to review by the sponsor or grantor prior to publication?

- Is there a need to prevent disclosure of information about persons, institutions, technologies, etc.?

- Is there an academic or commercial press that has documented its requirement of manuscript embargo in order to acquire the rights to publish the thesis/dissertation as a book?

When an exception request is approved by the Graduate Division, the Library will be notified to ensure that UC eScholarship suppresses access until the end of the approved extended embargo period.

Requests for permanent embargos will only be approved under truly extraordinary circumstances.

Post-Submission Requests for Delayed Public Dissemination

Policy
Students who wish to delay public dissemination must select this option at the time they submit their theses or dissertations to the Graduate Division via ProQuest. Requests to embargo a thesis or dissertation after the manuscript has been filed generally are not allowed. Post-submission embargo requests to UC eScholarship are permissible only in exceptional circumstances, and require Graduate Division and Graduate Council review and approval.

Procedure
The Graduate Division is the first point of contact for post-submission embargo requests to UC eScholarship. To make such a request, which is considered only for exceptional circumstances, the graduate student must submit a Post-Submission Request for Delayed Release to the Graduate Division detailing the reason for the request for an embargo and the reason for the delay in seeking the embargo, and including an explanatory letter from the thesis/dissertation committee chair. Each request will be reviewed on a case-by-case basis.

ProQuest allows the graduate student to embargo his or her manuscript at any time and for any duration, but cautions that "the rules and policies around dissemination related to a university's institutional repositories are created and managed separately by the university."

ProQuest will notify the Graduate Division of each request for a post-submission embargo. Upon receiving the notification from ProQuest, the Graduate Division will send an email to the graduate student reminding him/her of the University policy restricting delayed release. Graduate Division will approve of such post-submission requests in accordance with the procedure set forth below for Review of Post-submission Requests.

Review of Post-submission Requests:
The review of a post-submission embargo request by the Graduate Division and Graduate Council will take the following factors into consideration:

- Are there serious mitigating circumstances such that publication of the thesis or dissertation would cause undue risks or potential harm to the author or subjects?

- Is there a need to prevent disclosure of information about persons, institutions, technologies, etc.?

- Is there good cause for the failure to seek delayed public dissemination at the time of submission?

- Is the work already accessible via eScholarship?

In the rare cases in which a post-submission embargo request is approved by the Graduate Division and Graduate Council, the Graduate Division will notify the Library and UC eScholarship to withhold release for the approved embargo period.

UC Merced – Specific policy – Electronic submission required; embargo allowed, requires approval for all embargo requests.

https://graduatedivision.ucmerced.edu/sites/graduatedivision.ucmerced.edu/files/documents/PDFs/ucm_thesis_dissertation_manual.pdf

IX. Electronic Doctoral Dissertation and Master's Thesis Submission

UC Merced requires Doctoral students and Master students to submit their dissertation or thesis electronically using the ProQuest Information and Learning Electronic Thesis/Dissertation (ETD) Administrator.

You must have committee approval (title page signed off by committee) before submitting your thesis/dissertation electronically. Students must electronically submit their thesis/dissertation prior to the final exit appointment with the Graduate Division.

Electronic submissions of a doctoral dissertation or master's thesis must follow all formatting requirements set forth in this manual. It is the responsibility of the student to ensure that the doctoral dissertation or master's thesis appears as originally intended when it is accessed or printed.

[Note that document follows with specific submission requirements]

X. Publishing Your Work Elsewhere and Embargos

Students may elect to formally embargo their thesis/dissertation. This means that your manuscript will be neither cataloged for the UC Merced Libraries collection nor microfilmed until after that time. The approval of the student's dissertation or thesis committee chair is required for embargo requests that are less than or exceed 2 years. The Thesis or Dissertation Release Form must be submitted to the Graduate Division.

From UC Merced graduate policies and procedures:

https://graduatedivision.ucmerced.edu/sites/graduatedivision.ucmerced.edu/files/documents/PDFs/uc_merced_graduate_policies_and_procedures_handbook_18-19.pdf

9. Dissertation

Submitting the dissertation is the last step of the program leading to the award of an advanced degree. All dissertations submitted in fulfillment of requirements for advanced degrees at UC Merced must conform to certain University regulations and specifications with regard to format and method of preparation. See the UC Merced Thesis and Dissertation Manual for formatting requirements and filing instructions (https://graduatedivision.ucmerced.edu/sites/graduatedivision.ucmerced.edu/files/documents/PDFs/ucm_thesis_dissertation_manual.pdf). The Doctoral Committee certifies that the completed dissertation is satisfactory through the signatures of all Committee members on the signature page of the completed dissertation.

UC Riverside – Not stated as policy but rather as procedures to submitting a dissertation; up to 5 year embargo allowed, anything above 2 years needs specific approval.
http://graduate.ucr.edu/ETD.html

ProQuest ETD Website - FAQs

All Dissertations and Theses completed by UCR graduate students are submitted to and published by ProQuest. You'll be asked to create an account and fill out several screens of information after logging into the ETD site. Please read the instructions on the first page and make use of the *Resources and Guidelines* tab if necessary. Below you will find some general information and common questions about this site.

Which Publishing Option Should I Choose, Traditional vs. Open Access?

On this screen you will have the choice between Traditional and Open Access Publishing. Traditional publishing is free; Open Access currently costs $95. Please read the information describing the different options. The choice is yours to make.

It is worth noting that as a UCR student, you do not need to pay for Open Access Publishing through ProQuest to ensure global distribution of your work. All theses and dissertations from UCR are published to eScholarship (The University of California's open access institutional repository). This increases the availability and dissemination of your work.

This screen also includes options to limit or widen the availability of your work in ProQuest. Again, these choices are up to you, so please think about what is best for your situation. You will not be able to make adjustments to these choices after the format review.

Should I Delay the Release of My Work?

Most students find it is not necessary to delay the release of the document. The delay options are 6 months, 1 year or 2 years. You may request a delayed release of up to 5 years. If you wish to request a delay beyond 2 years, please make a note to the administrator in the **Notes** section. The Dean of the Graduate Division must review and approve all requests to delay release past 2 years.

If you choose to delay the release of your work there are two places on the ETD website where you can do so: PQ Publishing Options and IR Publishing Options. These are two separate entities. PQ stands for ProQuest and IR stands for Institutional Repository. IR refers to the Library and eScholarship. If you want a delay, the time period chosen in these two areas is typically the same. The UCR Library will honor the delayed release time period you choose in IR Publishing options and will not make the document available in eScholarship until the embargo period is over.

Most students opt to give broad reach to their work immediately rather than choosing an embargo. Reasons students have chosen to embargo their theses/dissertations include:

- It is based on data that will be used for other/future publications of a research group, and the research group wishes the thesis/dissertation embargoed until these other works are published. If you think this situation applies to you, discuss it with your research group and advisor.
- The student plans on obtaining a patent based on work in his/her thesis/dissertation.
- The student is under grant or contract obligations that forbid publication in these circumstances.
- The student plans on, or already has a contract to publish the thesis/dissertation with a publisher who requires that the work not be published elsewhere. Generally, theses and dissertations require revision and editing prior to publication to such an extent that publishing this original version is not necessarily an obstacle to a later publishing contract.

eScholarship: The Institutional Repository (IR) for the University of California

After the document is submitted and published by ProQuest, the UCR Library will receive the file. The University Library is granted full discretion in the use to be made of your manuscript for research purposes.

Since the function of a thesis or dissertation is to make your research available to other scholars, it is the policy of the University of California to encourage the distribution of all theses and dissertations. Digital copies of all UCR theses and dissertations will be routed to the Library. The Library will preserve and make accessible to the public all theses and dissertations in accordance with Library policies and best practices. Such access includes, but is not limited to online access to the public through platforms such as eScholarship, the University of California's open access institutional repository. If a student chooses to delay the release of his or her dissertation in ProQuest, the Library will provide access to the electronically submitted dissertation only after the embargo period concludes.

UC San Diego – Specific policy; requires electronic submission; up to 2 year embargo

https://grad.ucsd.edu/_files/academic-affairs/Dissertations_Theses_Formatting_Manual_17-18.pdf
(p48-50)

Electronic Doctoral Dissertation and Master's Thesis Filing
UC San Diego requires Doctoral and Master's students to file an electronic copy of their dissertation or thesis. For students in a joint doctoral program, electronic versions must be submitted to a separate website for either SDSU or CSUSM. Master's students are required to pay the $25 thesis submission fee prior to their final appointment with the Graduate Division. (The dissertation submission fee is included in the $50 doctoral advancement fee)

Electronic Doctoral Dissertation and Master's Thesis Submission Procedure
The electronic version of the doctoral dissertation or master's thesis must follow all formatting requirements set forth in this manual. It is the responsibility of the student to ensure that the doctoral dissertation or master's thesis appears as originally intended when it is accessed or printed. An original signature page must be submitted to the Graduate Division at the final appointment. The doctoral dissertation or master's thesis must be submitted as a single electronic Portable Document Format (PDF) file. If the original doctoral dissertation or master's thesis is a Microsoft Word or RTF file, you will be able to convert the doctoral dissertation or master's thesis to a PDF at the UC San Diego Dissertation Submission Site at http://www.etdadmin.com.

Submitting Electronically the Doctoral Dissertation or Master's Thesis
Electronic doctoral dissertations and master's theses must be submitted via the ETD UC San Diego Dissertation Submission Site prior to the final appointment with a Graduate Division Academic Affairs Adviser.

When the doctoral dissertation or master's thesis is ready to be submitted, students click on "Submit Your Dissertation/Thesis" in the left sidebar. This link opens the log-in page for students to click on the "New user" link to create a free account. If an account has already been created, students enter the appropriate email address and password into the text boxes provided and click "Log-In." If you are submitting a revision, use the revise dissertation link; do not create a new account.

Once the log-in is successful, students follow the instructions and links. In addition to properly formatting your doctoral dissertation or master's thesis, you will need to choose one of two publishing options. Please see http://www.etdadmin.com/UMI_PublishingOptionsGuide.pdf for details on the two options and discuss them with your committee chair. Current UC San Diego policy requires immediate release of doctoral dissertations and master's theses to ProQuest and to eScholarship via the California Digital Library. If your committee chair wishes to delay publication with an embargo, s/he must sign the Dissertation and Thesis Release Form specifying the length of the delay (one or two years) (http://ogs.ucsd.edu/_files/forms/DissertThesisReleaseTemplate.pdf).

The student's acceptance of the Submission Agreement and ProQuest Release is required in order to submit the electronic doctoral dissertation or master's thesis. Students click on "Accept" to agree to these terms. Next, students complete the required text boxes with student name and contact information and click "Continue." The next page requires information about the doctoral dissertation or master's thesis and student's degree. Students paste or type the doctoral dissertation or master's thesis

abstract (Note: doctoral abstracts are limited to 350 words, master's abstracts are limited to 250 words) into the appropriate text box. Requests to the doctoral dissertation and master's thesis administrators (Graduate Division Academic Affairs Advisers) may be placed in the appropriate text box.

Finally, students indicate whether ProQuest is authorized to register the student's claim to copyright with the U.S. Copyright Office for a $65 fee. Once students click on "Submit," the next page may take a few minutes to load. The next page is an order form for printed, bound copies of the doctoral dissertation or master's thesis. To place an order, students complete the relevant fields and click on "Place order." Otherwise, students may click on "Continue without ordering copies." The final page gives students the opportunity to verify the accuracy of the submission. If the submission is satisfactory, students click on "Log out." 50 An email confirmation of a successfully submitted electronic doctoral dissertation or master's thesis will be sent to students.

The electronic doctoral dissertation or master's thesis will be sent to the Graduate Division for final approval. Upon review of the electronic doctoral dissertation or master's thesis, a Graduate Division Academic Affairs Adviser will send an email to students with any problems or questions prior to the final appointment. Students will need to schedule the final appointment with a Graduate Division Academic Affairs Adviser for final approval and submission.

UC San Francisco – Specific procedures, no policy requiring open access; students choose as an option (and have to pay the fee on their own); up to one year embargo for release of theses/dissertation upon approval.

https://graduate.ucsf.edu/ucsf-dissertation-thesis-guidelines

UCSF Dissertation and Thesis Guidelines

The submission of your thesis, dissertation, or manuscript is the final step in the awarding of your degree. The finished document is a scholarly work, and something to be proud of — the result of a long period of preparation and research. Allowing enough time for all the required steps, paying attention to deadlines, and adhering to the format guidelines are crucial. **Follow these guidelines carefully to ensure the process goes smoothly.** The electronic copy of your thesis, dissertation, or manuscript, which you submit to the Graduate Division through ProQuest, is deposited in the UCSF Library and becomes an official and permanent record available for use by other scholars and the public. Your committee will guide you in the content of your manuscript, and your graduate program may specify certain elements of style in addition to the prescribed format for all programs.

Requests for Delayed Publishing/Embargo

THIS IS IMPORTANT AND TIME SENSITIVE. Occasionally there are special circumstances in which a student does not want all or part of the dissertation to be published. Such circumstances may involve disclosure of patent rights, disclosures of facts about persons or institutions that violate professional ethics regarding protection of confidentiality or other circumstances that would be detrimental to the rights of the author. In such cases, the dean of the Graduate Division may permit the entire thesis, dissertation, manuscript or an appendix to be held for a specified period of time, usually not longer than one year. The Graduate Division does not automatically approve embargoes strictly for the purpose of providing additional time to prepare published works. All requests for a publishing embargo must be made to the dean of the Graduate Division, submitted in the form of a letter from your graduate adviser, PI, or the chair of your thesis, dissertation, or manuscript committee. Unless there are extreme circumstances, the maximum length of the embargo request should not exceed one year. All requests for embargoes require time for review and add time to the dissertation filing process. ***Requests must be emailed to graduate.division@ucsf.edu at least 10 business days before the end of the term in which you want to graduate.*** Failure to submit well in advance may result in a requirement to re-register in the following term.

From FAQs:

Q. How do I submit the final documents?

A. Theses, dissertations, and manuscripts must be submitted online through ProQuest. Note that the options you choose when submitting your document to ProQuest, e.g. publishing options, copyright services, etc., will affect costs. UCSF covers the cost of the traditional publishing option for all students. If you choose open access publishing, then *you* are responsible for the difference between the traditional publishing fee and the open access fee. Likewise, if you choose to have ProQuest apply for a

copyright on your behalf or if you desire any other service (e.g. binding or printing), then *you* are responsible for additional fees.

UC Santa Barbara – Specific policy; electronic submission required; up to 2 years embargo, longer upon approval

http://www.graddiv.ucsb.edu/docs/default-source/default-document-library/guide-to-formatting-filing-theses-dissertations.pdf?sfvrsn=0

Chapter I. Academic Senate Policy and Student Responsibility for Dissertations, DMA Supporting Documents, and Theses

Doctoral dissertations/supporting documents and master's theses submitted to UCSB must meet the requirements set by Graduate Council for the degree candidate to be eligible for a graduate degree.

A doctoral dissertation must be the result of original research conducted in the candidate's specialization and must be approved in its entirety by the student's doctoral committee. A DMA supporting document must be a written document that demonstrates evidence of scholarly research, all judged satisfactory by the doctoral committee. A master's thesis must be a significant research work and must be approved in its entirety by the master's committee. For the remainder of this guide, "dissertation" will refer to all doctoral degrees, including DMA. Students and their committee members are responsible for everything contained in the manuscript. The complete master's thesis or doctoral dissertation must be submitted to the members of the student's supervising committee for their review and final approval. This includes all preliminary pages or front matter (e.g., dedication, acknowledgements, abstract), the main body of text (including any charts or other inserted matter), and the back matter (e.g., the notes and bibliography, any appendices). It is the responsibility of all committee members to read the entire content of the manuscript before approving. Nothing can be added once the committee has given final approval as indicated by their signatures on the signature page. Students should electronically file (e-file) the thesis or dissertation only when it is completed and approved in its entirety by all their committee members. This means making the revisions requested by supervising faculty members prior to obtaining final signatures and electronically filing the document. Once the Graduate Division has accepted the electronically filed (e-filed) document, it is final and cannot be changed. Students and committee members are responsible for ensuring that all standards of publication (including fair use, copyrighting, patents, and publication rights) and all standards of research are met, including, where appropriate, approval of the Human Subjects Committee (contact the Office of Research at 805-893-3807) or approval of the Institutional Animal Care and Use Committee [IACUC] (contact IACUC@lifesci.ucsb.edu).

Per Graduate Council policy, master's theses and doctoral dissertations must be published through ProQuest Information and Learning using microfilm and electronic means. As such, students grant ProQuest the non-exclusive right to reproduce and distribute their theses or dissertations in and from microfilm and in and from an electronic format. Students also grant ProQuest the non-exclusive right to reproduce and distribute their abstracts in any format in whole or in part. Students may grant other publication rights as they wish in other forms – hard or soft cover, posters, screenplay, etc.

ProQuest keeps a master microfilm of each thesis and dissertation deposited with them, offers copies of the documents for sale, and publishes an abstract of the document in Masters Abstracts International or Dissertation Abstracts International (available on the Internet). ProQuest pays a royalty on sales of copies of the thesis or dissertation.

ProQuest may use third party agencies to collect orders for theses and dissertations, but ProQuest fills the orders. During the e-filing process, students choose whether or not to allow third party sales of their document. Authors retain all rights to their dissertations, and sales are tracked for royalty payments.

It is the policy of UC Santa Barbara to deposit all electronic theses and dissertations (ETDs) at the UC Santa Barbara Library. The ETDs will be archived in the Library's institutional repository (IR), Alexandria Digital Research Library (ADRL), and will be accessible to patrons visiting the Library. The Library Publishing Agreement can be read here: http://www.graddiv.ucsb.edu/docs/default-source/academic-services-documents/2014- documents/publishing-agreement-3-19-14.pdf?sfvrsn=2 Students who have questions concerning any of the above should contact Academic Services in the Graduate Division at 805-893-2277 or consult the ProQuest Authors website at: http://www.proquest.com/en-US/products/dissertations/authors.shtml

Embargo/Delayed Release

Students may choose to delay the release (embargo) of their ETD due to a pending patent, publication, or other reason. An embargo of 6 months, 1 year, or 2 years may be requested directly via ProQuest at the time of electronic submission. UCSB requires students to obtain approval from their Committee Chair and the Graduate Division Dean when the request to embargo their ETD is for a period longer than 2 years. The petition to request a delayed release/embargo of longer than 2 years can be downloaded here: www.graddiv.ucsb.edu/academic/forms-petitions

Chapter VI. Electronic Thesis and Dissertation Filing

UCSB requires students to electronically file their thesis or dissertation (referred to in this document as "ETD") with ProQuest. Filing a hardcopy of the thesis or dissertation is no longer required nor accepted.

Electronic Thesis and Dissertation Format

Electronic theses and dissertations (ETDs) must be submitted as a single electronic Portable Document Format (PDF) file. If the original ETD is a MS Word or RTF file, it will be converted to PDF at the UCSB Dissertation/Thesis Submission Site. Certain types of fonts and graphics work better with PDF, and special attention should be paid to creating equations for PDF conversion. Issues related to PDF files are discussed in the PDF Help Center section of the submission website at: http://www.etdadmin.com/UMI_PreparingYourManuscriptGuide.pdf. If the ETD is not in MS Word, RTF or PDF – e.g. LaTeX or WordPerfect – it must be converted to PDF by the student before the student uses the Submission Site. UCSB Instructional Computing (IC) makes Adobe Acrobat available at no charge to UCSB students at several IC computer labs. See http://www.collaborate.ucsb.edu/home for information about IC facilities and services.

How to Submit the Thesis or Dissertation Electronically

Start by creating an ETD account on the Electronic Thesis and Dissertation (ETD) website. Log on to your account to submit your manuscript and view/revise an existing submission.
Some basic steps to submission:

- The e-thesis/dissertation must be submitted as a single electronic PDF file.
- The thesis/dissertation must follow all institutional formatting guidelines for submitting an electronic manuscript.
- Review all instructions on the ETD website prior to submitting your thesis/dissertation.

UC Santa Cruz – Specific policy to "encourage the distribution of all theses and dissertations." Embargo up to 2 years

https://guides.library.ucsc.edu/c.php?g=119788&p=780560

From Academic regulations – Graduate Student handbook – Actually says students "may" submit to ProQuest but the actual guidelines say that you "must" submit to ProQuest. See page 8 of the Dissertation Thesis Guidelines pdf link below. Conflicting information presented (one section says they accept paper documents while another says they do not)
https://graddiv.ucsc.edu/current-students/academic-regulations/graduate-student-handbook/section-eleven.html

Dissertation

If you are a Ph.D. candidate you must prepare and submit a dissertation that is based on original research and meets the requirements of your department. A Committee to read and pass upon the dissertation is appointed by your department, subject to the approval of the Graduate Dean, and should be submitted to Graduate Division with the report of the qualifying examination.
The Dissertation Reading Committee must have a minimum of three readers, the majority of who must be members of the Santa Cruz Division of the Academic Senate. A change in the membership of the committee must be approved by the Graduate Dean.

The dissertation, completed in the format specified by the Graduate Council and approved by the dissertation committee, must be submitted to the Graduate Division no later than the last day of the term in which the degree is to be awarded. Follow the instructions detailed in the Dissertation Thesis Guidelines pdf. You may submit the thesis in electronic format via the ProQuest system; register on the ProQuest ETD Administrator site. We prefer not to receive hard copies, though we will accept them; they must be printed on 100% cotton paper and conform to all formatting guide.

Electronic Submission and Online Archiving of Theses and Dissertations

As of Winter Quarter 2012, all UCSC dissertations and theses are being submitted in electronic instead of paper format. As part of the submission process at the ProQuest/UMI website, students will complete the following University Agreement:

It is the policy of the University of California Santa Cruz to encourage the distribution of all theses and dissertations. Electronic copies of all UCSC theses and dissertations will be routed to the University Library. The Library will preserve and make accessible to the public all theses and dissertations in accordance with Library policies and best practices. Such access includes, but is not limited to online access to the public through platforms such eScholarship, the University of California's open access institutional repository. Providing such access increases the availability and dissemination of your work at no charge to students, a benefit ProQuest/UMI provides only for a fee. If a student is approved to delay the release of his or her dissertation, the library will provide access to the electronically submitted dissertation when the embargo period concludes.

Since theses and dissertations are no longer being submitted on paper, we are no longer archiving paper copies; we archive the digital files instead. As mentioned above, ProQuest provides Open Access

archiving of theses and dissertations; they charge a $95 fee for this service, which they call Open Access Publishing PLUS. As a UCSC student, you do not need to pay this fee to ensure global distribution of your work. Regardless of whether you select Traditional Publishing or Open Access Publishing PLUS, ProQuest will send a copy of your file(s) to the library, after which we will post them on eScholarship, where readers can access them from links you send them or from any web search, including Google Scholar. You will also be able to view statistics about how many times your work has been viewed and downloaded.

Publishing Options: Delaying the Release of Your Work

As part of the submission process at the ProQuest/UMI website, students will have the option to embargo their thesis or dissertation for up to two years. If a student chooses this option, the full text of the thesis/dissertation will not be available through ProQuest/UMI or posted Open Access in eScholarship. ProQuest/UMI will still post the abstract and description you provide, and your thesis or dissertation will still be listed in the library catalog and available for on site viewing at the library. Most students opt to give broad reach to their work immediately rather than choosing an embargo. Reasons students have chosen to embargo their theses/dissertations include:

- It is based on data that will be used for other/future publications of a research group, and the research group wishes the thesis/dissertation embargoed until these other works are published. If you think this situation applies to you, discuss it with your research group and advisor.
- The student plans on obtaining a patent based on work in your thesis/dissertation.
- The student is under grant or contract obligations that forbid publication in these circumstances.
- The student plans on, or already has a contract to publish the thesis/dissertation with a publisher who requires that the work not be published elsewhere. Generally, theses and dissertations require revision and editing prior to publication to such an extent that publishing this original version is not an obstacle to a later publishing contract. Read more about this here.

ProQuest/UMI also offers embargo options for students concerned that their thesis or dissertation contains sensitive material, or copyrighted material included in a manner or amount beyond what is allowed by fair use. However, an embargo is only temporary. If a thesis or dissertation contains information of a sensitive personal nature or would violate copyright if published online, it is likely that it will still do so when the embargo concludes and the item is eventually posted. Students concerned about these issues may wish to speak to their advisor about editing their thesis or preparing a redacted version.