When there's only one

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When There’s Only One: Resource sharing and the predicament of the dissertation request
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1. Introduction
Agenda Overview

◈ Case Studies from the Universities of Maryland and Minnesota
   ○ Borrowing
   ○ Lending
   ○ Evaluation of Author Embargos

◈ Peer Survey of U.S. Research Libraries

◈ Conclusion
   ○ Solutions
   ○ Advocacy
3. Borrowing Case Studies

Universities of Maryland and Minnesota
University of Maryland
2,570 requests
For theses and dissertations, FY 2015-2018

83% fill rate
Which is lower than overall fill rate of 88%

33% e-delivery
Including scanned files, open access, and ProQuest ETDs
Maryland Requests for Theses & Dissertations

- Print: 50%
- Electronic: 21%
- ProQuest: 17%
- Cancelled: 12%
Maryland Thesis & Dissertation Requests by Country
University of Minnesota
1,719 requests
For theses and dissertations, FY 2018

76% fill rate
Which is lower than overall fill rate of 92%

29% e-delivery
Including scanned files (19%) + open access (81%)
Minnesota Requests for Theses & Dissertations

- Print: 47%
- Electronic: 29%
- Cancelled: 24%
Minnesota Fill Rate by Material Age

- All Items
- Theses & Dissertations
Minnesota Thesis & Dissertation Requests by Country
4. Lending Case Studies

Universities of Maryland and Minnesota
Brief History of ETDs at Maryland

- 2003: Mandated deposit of ETDs begin
- 2006: Option to embargo begins
- 2013: ETDs now only copy deposited
Maryland ETD Embargoes Placed by Authors

AY 2006-2007
AY 2007-2008
AY 2008-2009
AY 2009-2010
AY 2010-2011
AY 2011-2012
AY 2012-2013
AY 2013-2014
AY 2014-2015
AY 2015-2016
AY 2016-2017
AY 2017-2018

- Red: 6 year
- Yellow: 1 year
- Blue: Indefinite
## Requests for Maryland Theses & Dissertations

<table>
<thead>
<tr>
<th>Fiscal Year (FY)</th>
<th>Filled</th>
<th>Cancelled</th>
<th>Fill Rate</th>
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<tbody>
<tr>
<td>FY 2011</td>
<td>421</td>
<td>109</td>
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<td>FY 2012</td>
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<td>129</td>
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<td>FY 2013</td>
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<td>93</td>
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<tr>
<td>FY 2017</td>
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<tr>
<td>FY 2018</td>
<td>158</td>
<td>159</td>
<td>50%</td>
</tr>
</tbody>
</table>
University of Minnesota
Minnesota ETD Embargoes Placed by Authors

AY 2017

AY 2018

AY 2019

- 4 years
- 3 years
- 2 years
- 1 year
- 6 month
Minnesota Lending Requests Received by Fiscal Year
84% Fill Rate
For all 5 fiscal years

99% Filled Print
1% (24 of 1,751) digitized or shared link to ETD

Low embargo impact
Those deposited from 2010-2017 were < 5% of requests
5. Peer Perspectives

Survey of R1 University Libraries in the U.S.
131 R1 universities
Survey was distributed to ILL supervisors at each

63 responses
Received over 4 week period

48% response rate
Results are likely representative for U.S. research libraries
Searching and Connecting Borrowers with ETDs

- 40% Yes, by providing a link to full text via OCLC conditional or email
- 29% Yes, by downloading a PDF and charging default fee
- 19% Yes, by downloading a PDF and supplying for free
- 3% No, we do not check our institutional repository
- 9% Not applicable (i.e., no institutional repository with open access ETDs)
Ability to lend from ProQuest

Local ETDs Deposited with ProQuest
- Yes: 41%
- No: 35%
- I don't know: 17%
- Not applicable: 7%

From ProQuest Dissertations & Theses Global
- Yes: 38%
- No: 24%
- I don't know: 12%
- Not applicable: 26%
Ability to lend embargoed ETDs

- No lending embargoed ETDs in any format (54%)
- No lending embargoed ETDs but may lend print copy (7%)
- Yes, lending embargoed ETDs is permitted (27%)
- Don't know if lending embargoed ETDs is permitted (3%)
- Don't know if embargoes are permitted (3%)
- No embargoes are permitted (5%)
Methods for Lending Embargoed ETDs

1. Contact author to request permission + PDF
2. Contact ETD team, which shares request with author (who may share directly)
3. Download and share PDF
4. Request temporary link from ETD team
6. Conclusion
Old Obstacles

Shipping Costs
Limited Availability
Fear of Loss

New Barriers

ETD Embargoes
Licensing Restrictions
Solutions

Controlled digital lending
Rethinking restrictive policies
Understanding and negotiating licensing terms
Improving discoverability

Advocacy

Within the Library
Across the University
With Vendors
Thanks!

Any questions?

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