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
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 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


6 year  1 year  Indefinite
# Requests for Maryland Theses & Dissertations

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Filled</th>
<th>Cancelled</th>
<th>Fill Rate</th>
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<td>421</td>
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<tr>
<td>FY 2018</td>
<td>158</td>
<td>159</td>
<td>50%</td>
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</tbody>
</table>
Minnesota ETD Embargoes Placed by Authors

AY 2017
AY 2018
AY 2019

- 4 years
- 3 years
- 2 years
- 1 year
- 6 month
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: 26%
- No: 38%
- I don't know: 12%
- Not applicable: 24%
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 (5%)
- Don't know if embargoes are permitted (5%)
- No embargoes are permitted (3%)
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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