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### **When there's only one**

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16th IFLA ILDS Conference  
9-11 October 2019  
National Library of Technology  
Prague, Czech Republic



BEYOND THE  
PAYWALL



resource sharing in a disruptive ecosystem

# When There's Only One: Resource sharing and the predicament of the dissertation request



**IFLA Interlending & Document Supply Conference  
Prague, Czech Republic | October 9-11, 2019**



## **Melissa Eighmy Brown**

Interlibrary Loan Borrowing Manager,  
co-interim Content Services Director  
University of Minnesota Libraries



## **Austin Smith**

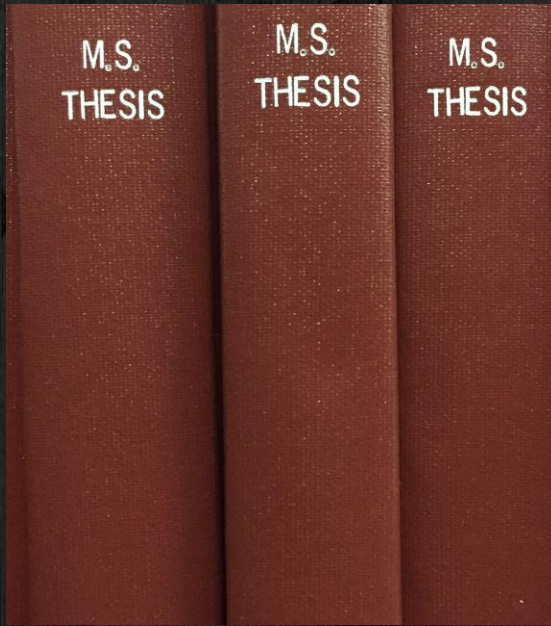
Former Resource Sharing Coordinator  
University of Maryland Libraries



## **Hilary Thompson**

Director, User Services & Resource Sharing  
University of Maryland Libraries

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# 1. Introduction

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# Agenda Overview

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- ◆ **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

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Universities of Maryland and Minnesota

**University of Maryland**

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▶ **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**

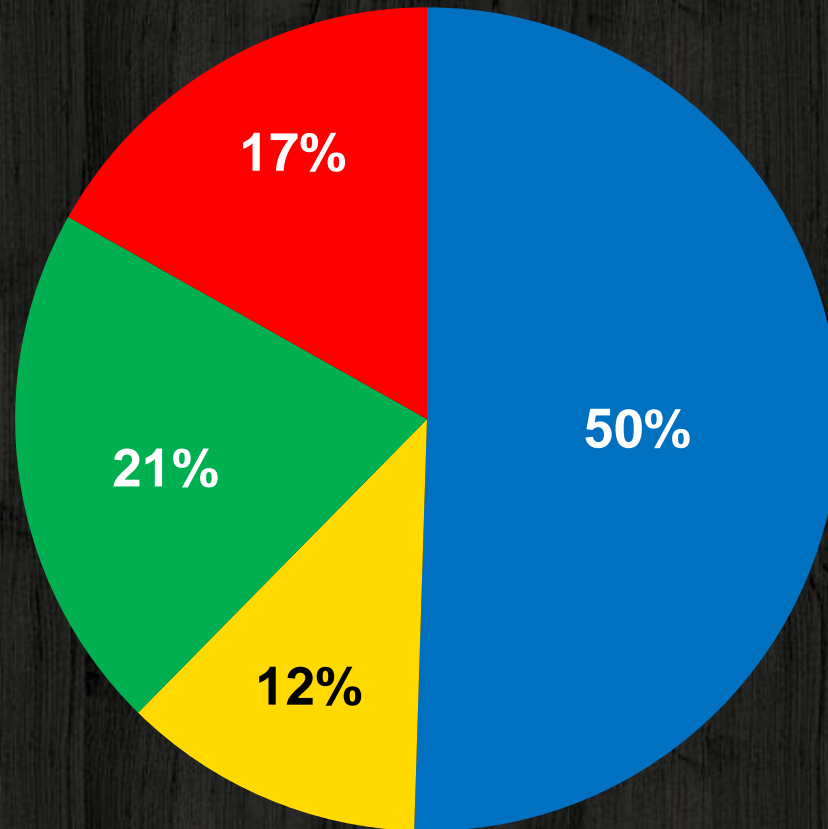
Including scanned files, open access, and ProQuest ETDs

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# Maryland Requests for Theses & Dissertations

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■ Print   ■ Electronic   ■ ProQuest   ■ Cancelled

# Maryland Fill Rate by Material Age



# Maryland Thesis & Dissertation Requests by Country

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**University of Minnesota**

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▶ **1,719 requests**

For theses and dissertations, FY 2018

▶ **76% fill rate**

Which is lower than overall fill rate of 92%

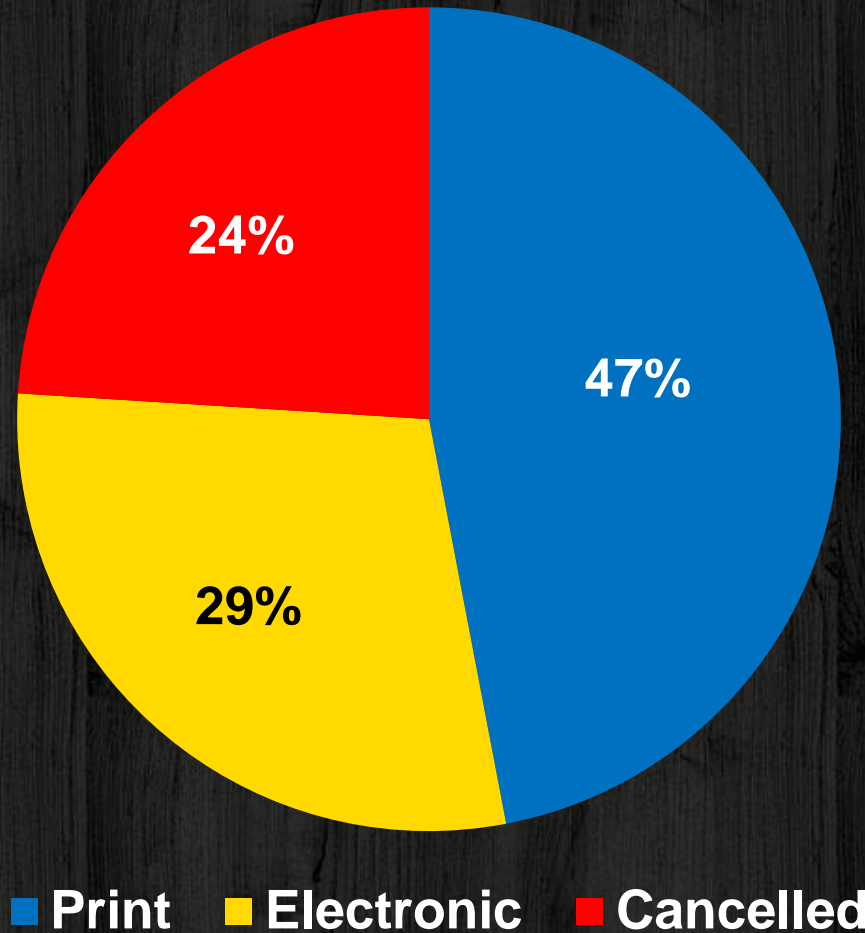
▶ **29% e-delivery**

Including scanned files (19%) + open access (81%)

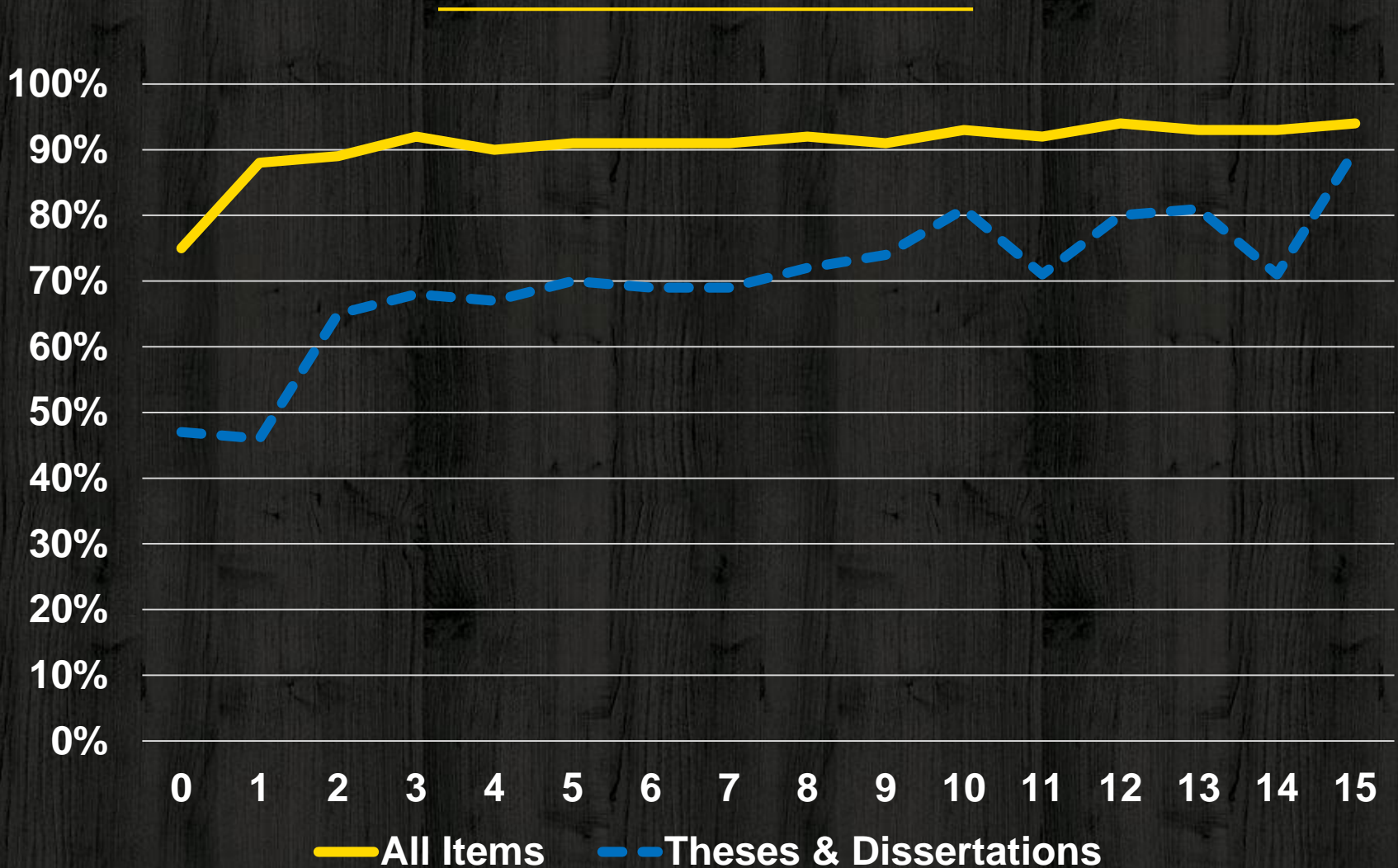
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# Minnesota Requests for Theses & Dissertations

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# Minnesota Fill Rate by Material Age



# Minnesota Thesis & Dissertation Requests by Country

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# 4. Lending Case Studies

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Universities of Maryland and Minnesota

**University of Maryland**

# Brief History of ETDs at Maryland

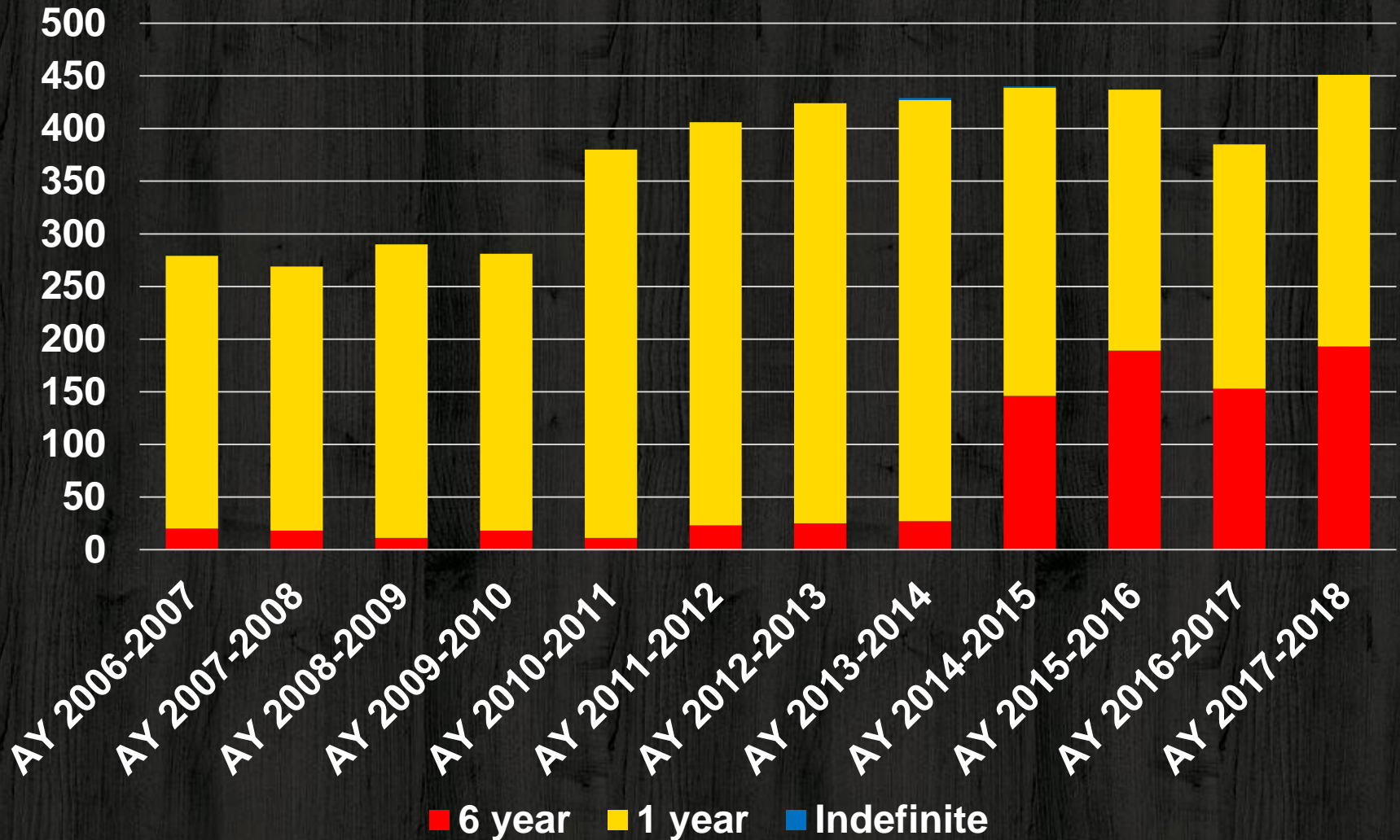
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**2003:**  
Mandated  
deposit of  
ETDs begin

**2006:**  
Option to  
embargo  
begins

**2013:**  
ETDs now  
only copy  
deposited

# Maryland ETD Embargoes Placed by Authors

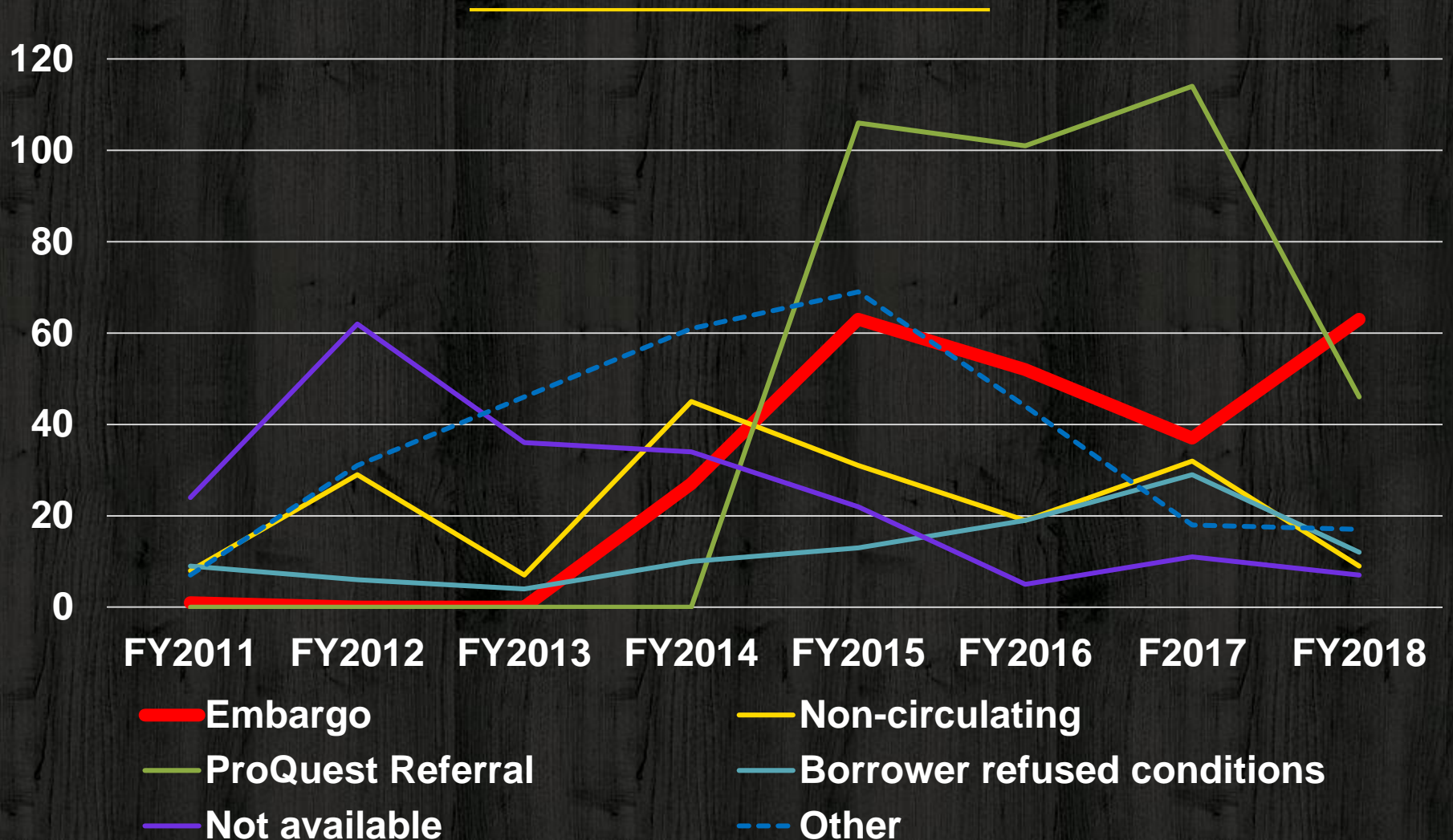


# Requests for Maryland Theses & Dissertations

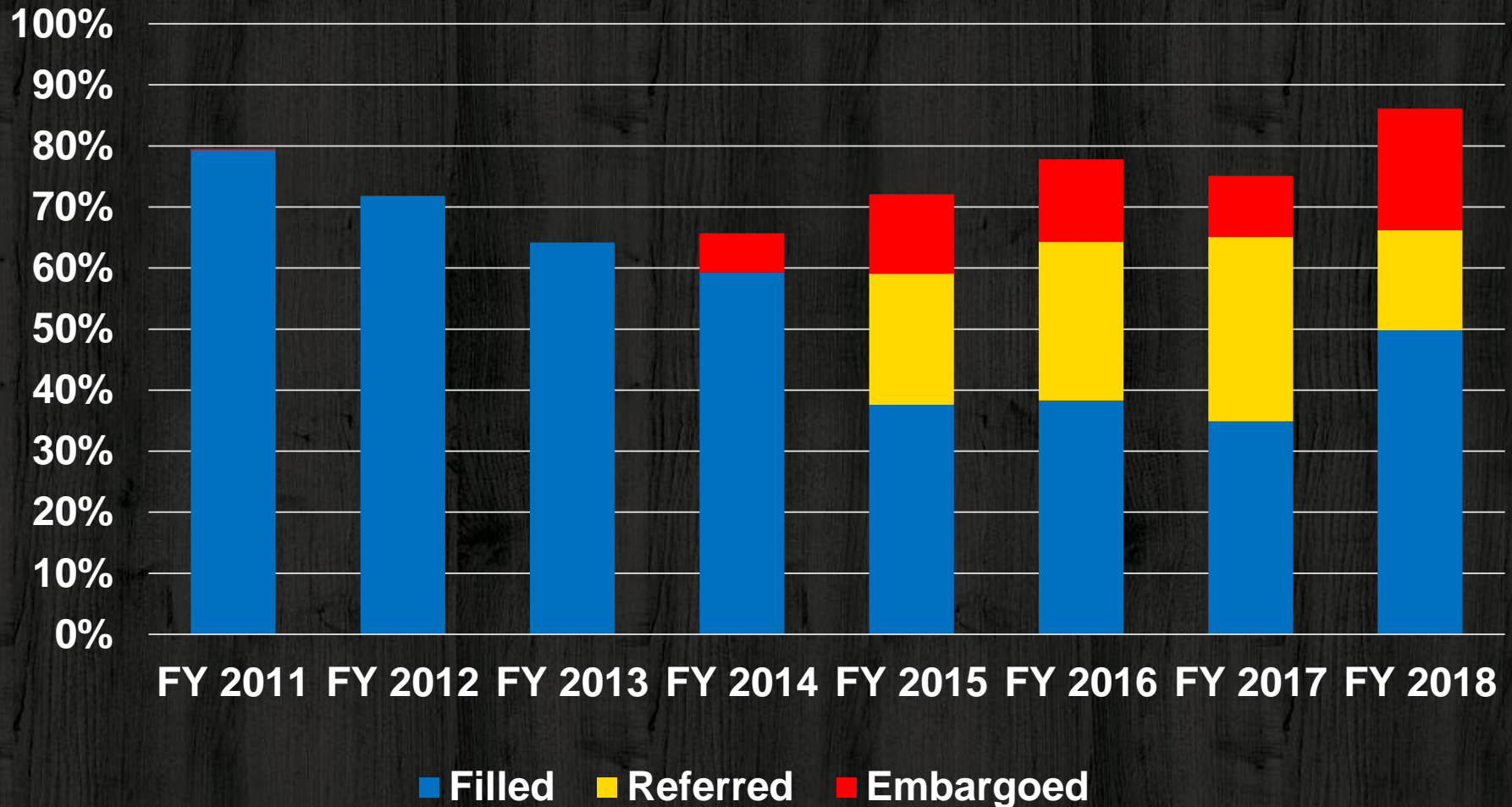
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|         | Filled | Cancelled | Fill Rate |
|---------|--------|-----------|-----------|
| FY 2011 | 421    | 109       | 79%       |
| FY 2012 | 329    | 129       | 72%       |
| FY 2013 | 167    | 93        | 64%       |
| FY 2014 | 251    | 172       | 59%       |
| FY 2015 | 182    | 302       | 38%       |
| FY 2016 | 147    | 237       | 38%       |
| FY 2017 | 128    | 239       | 35%       |
| FY 2018 | 158    | 159       | 50%       |

# Cancellation Reasons for Maryland T&Ds



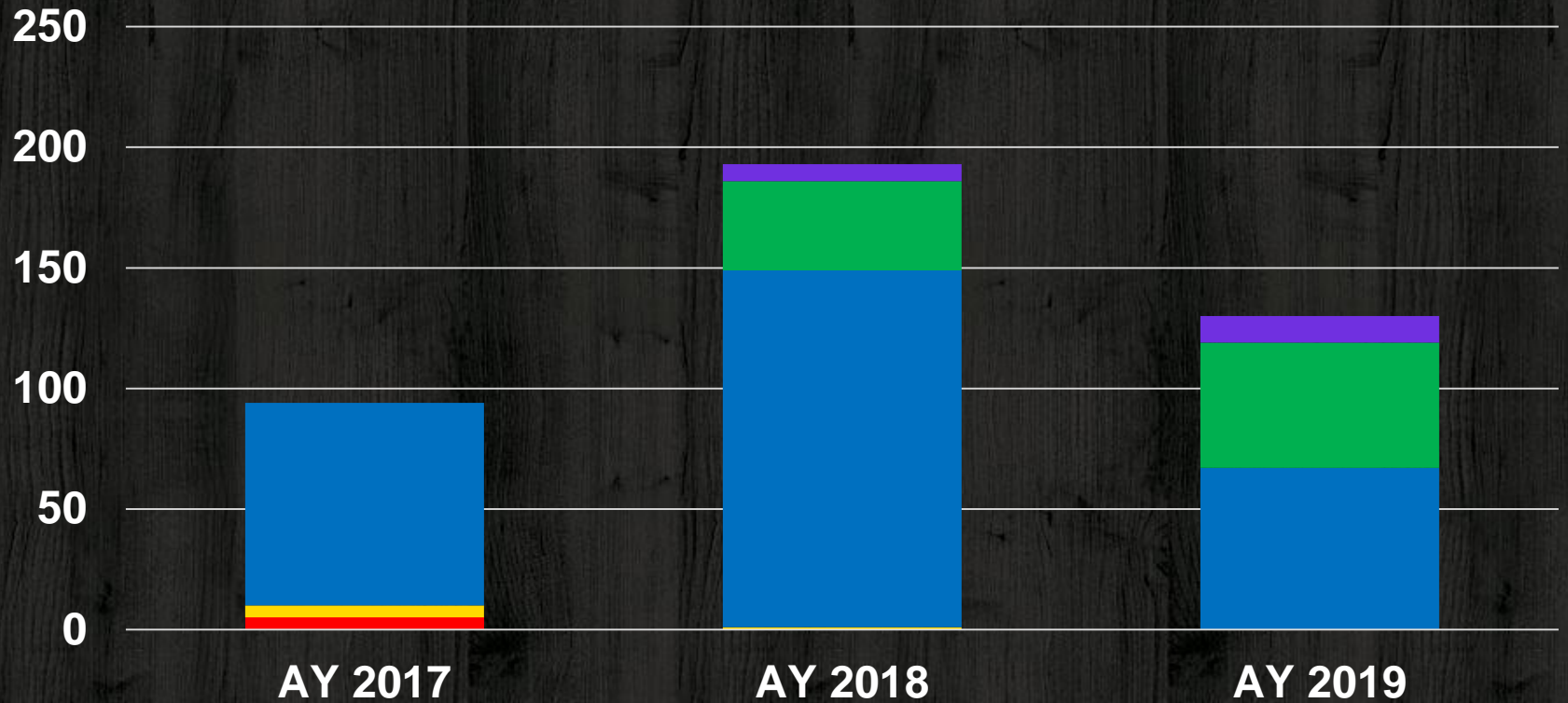
# Fill Rate for Maryland Theses & Dissertations



**University of Minnesota**

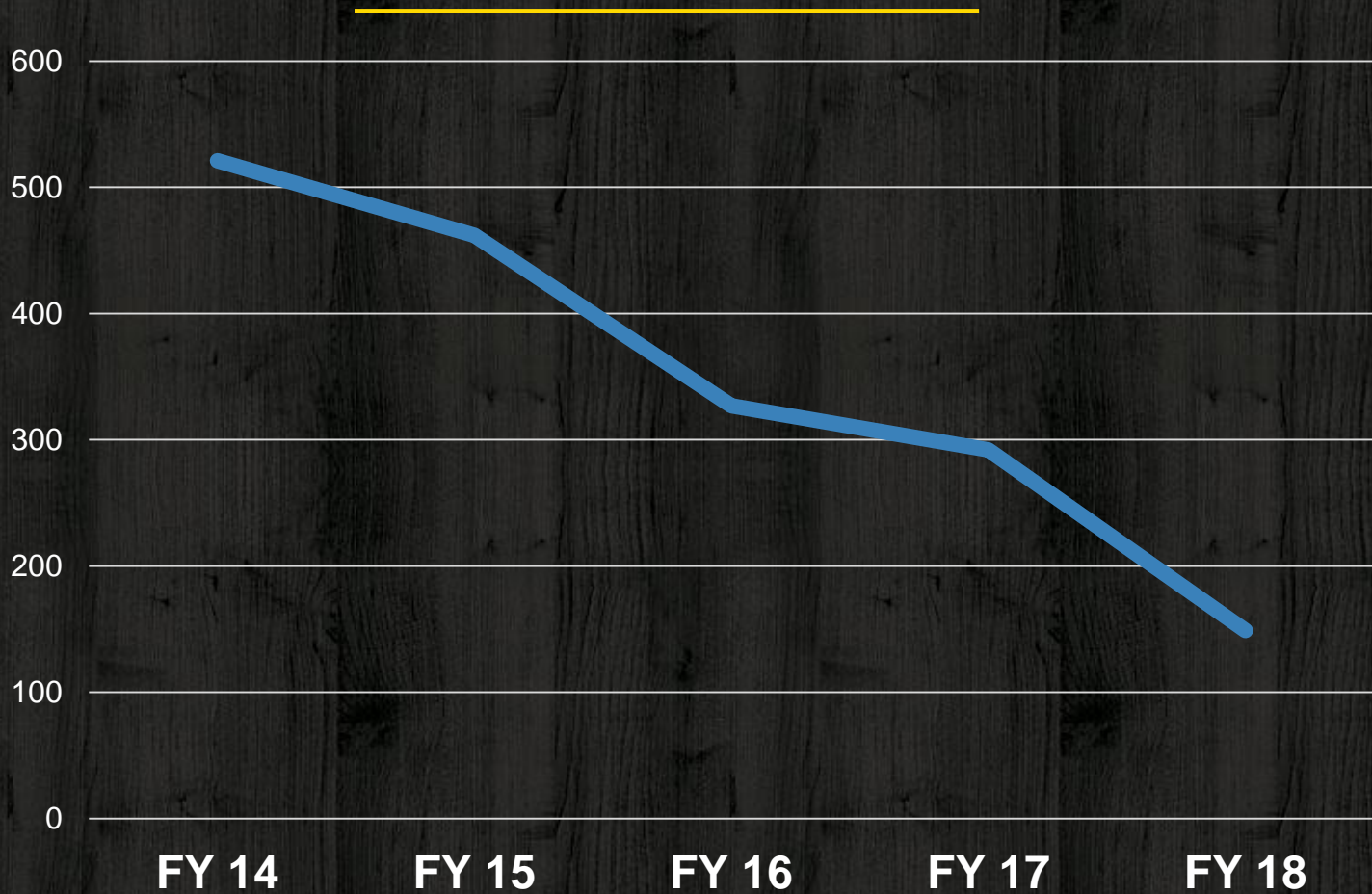


# Minnesota ETD Embargoes Placed by Authors



■ 4 years ■ 3 years ■ 2 years ■ 1 year ■ 6 month

# Minnesota Lending Requests Received by Fiscal Year



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# ▶ 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

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# 5. Peer Perspectives

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Survey of R1 University Libraries in the U.S.

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▶ **131 R1 universities**

Survey was distributed to ILL supervisors at each

▶ **63 responses**

Received over 4 week period

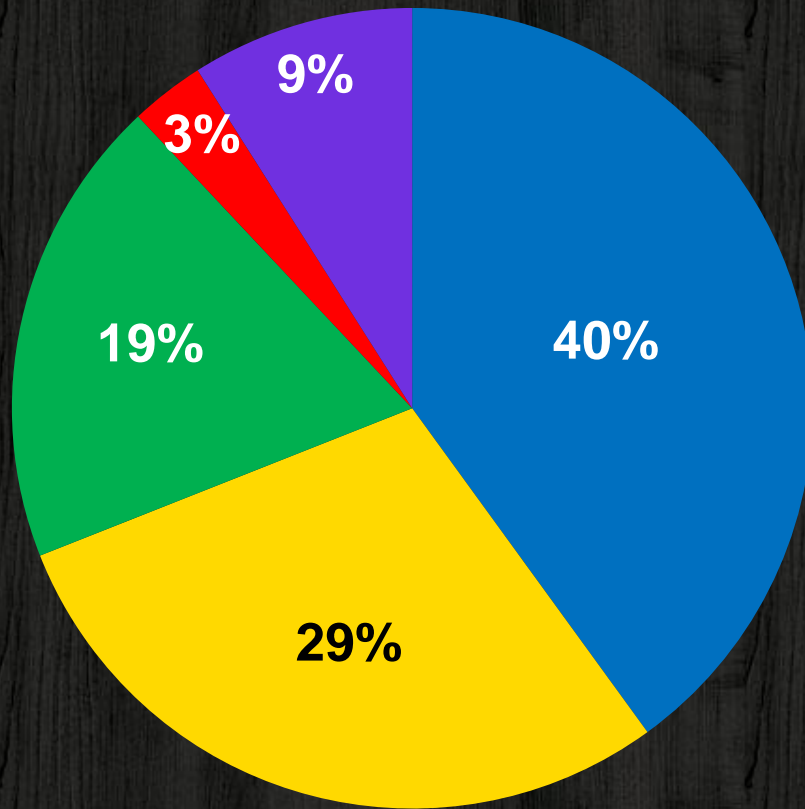
▶ **48% response rate**

Results are likely representative for U.S. research libraries

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# Searching and Connecting Borrowers with ETDs

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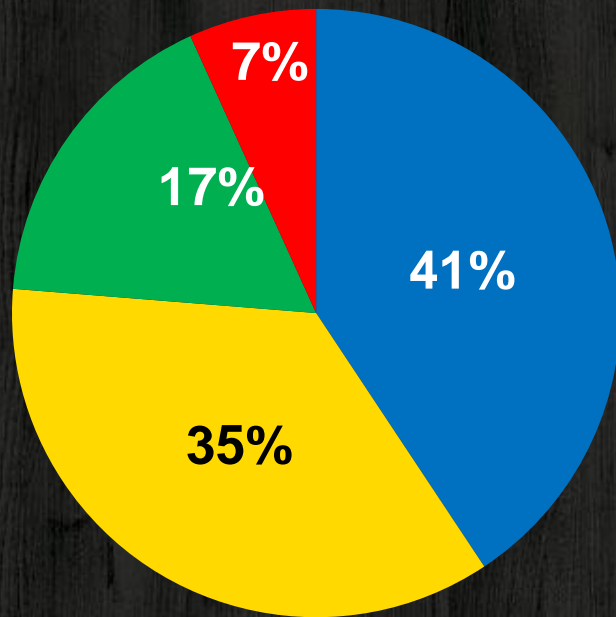


- Yes, by providing a link to full text via OCLC conditional or email
- Yes, by downloading a PDF and charging default fee
- Yes, by downloading a PDF and supplying for free
- No, we do not check our institutional repository
- Not applicable (i.e., no institutional repository with open access ETDs)

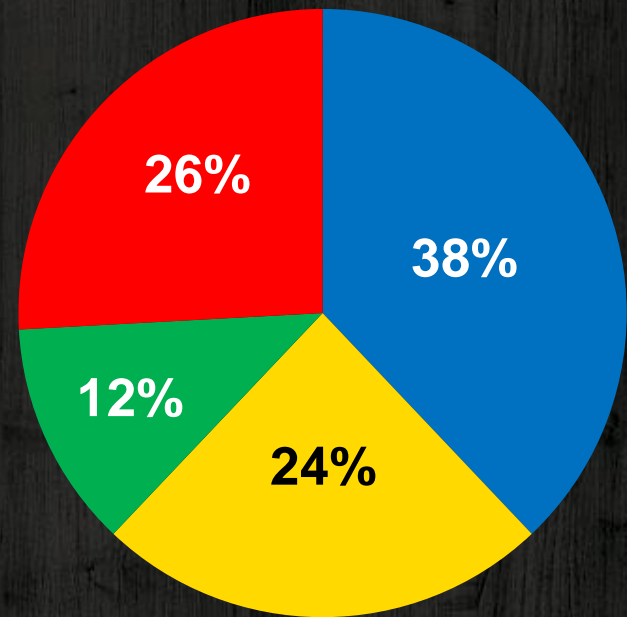
# Ability to lend from ProQuest

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Local ETDs Deposited  
with ProQuest



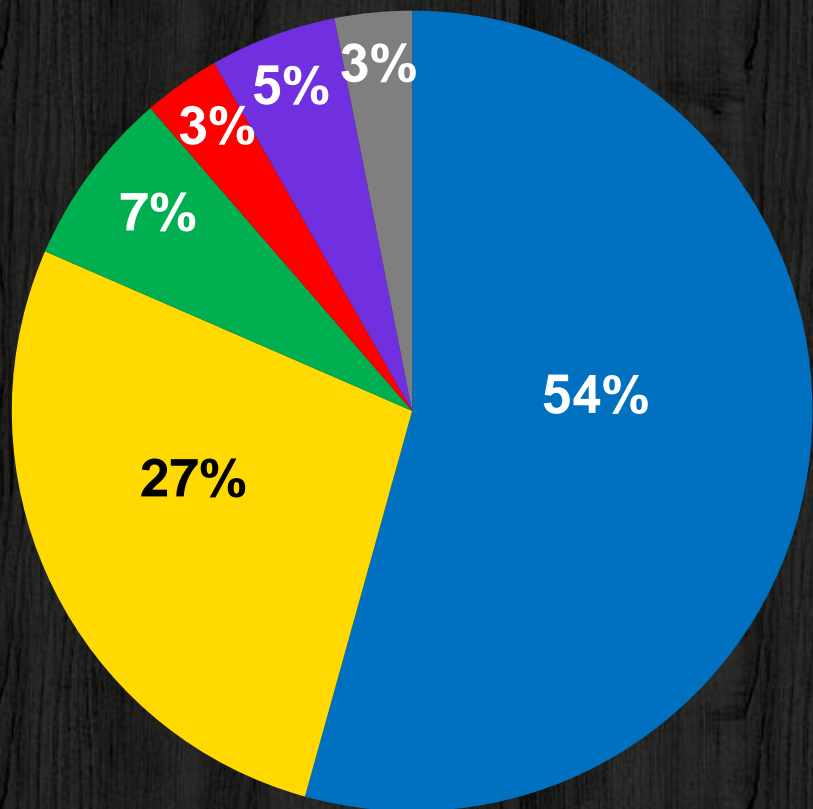
From ProQuest Dissertations  
& Theses Global



- Yes
- No
- I don't know
- Not applicable

# Ability to lend embargoed ETDs

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- No lending embargoed ETDs in any format
- No lending embargoed ETDs but may lend print copy
- Yes, lending embargoed ETDs is permitted
- Don't know if lending embargoed ETDs is permitted
- Don't know if embargoes are permitted
- No embargoes are permitted



# Methods for Lending Embargoed ETDs

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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

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## **Old Obstacles**

**Shipping Costs  
Limited Availability  
Fear of Loss**

## **New Barriers**

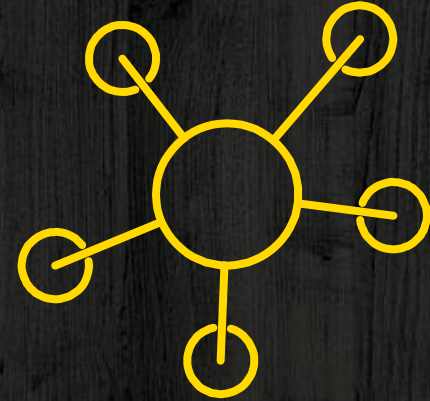
**ETD Embargoes  
Licensing Restrictions**

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## **Solutions**

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



## **Advocacy**

**Within the Library**  
**Across the University**  
**With Vendors**

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Thanks!

**Any questions?**

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