

Procedure for Extending Embargo Period on Research Degree Theses



1. Introduction

A digital copy of a UCD research thesis is automatically deposited in the Research Repository UCD (RRU) upon award of the research degree and, without an embargo being set, is immediately publicly available to view¹. The default position of the university is to not apply an embargo on a research thesis. However, in specific circumstances an embargo can be placed on a thesis normally for 2 years. In certain circumstances an application to extend the initial embargo beyond the period approved will be considered.

This request must be submitted by the School of the graduated author. This can be the author's Principal Supervisor or the relevant Head of the School where the graduated student had been registered. The application must be accompanied by substantive supporting documentation.

This document outlines the Procedure for extending an existing embargo on a research thesis.

Evidence must be provided that the research thesis contains personal, security or commercially sensitive information or the thesis contains material intended for future publication and the publishers specifically require that the thesis be restricted.

The evidence that could be provided includes:

- A copy of a confidentiality/non-disclosure agreement showing that research participants had taken part under the condition that access to the thesis would be restricted
- A specific plan for publication with the prospective publisher identified and the publisher's policy outlining that the ability to publish in a journal/paper would be compromised if the research appeared elsewhere e.g., UCD RRU
- A letter from a research funder declaring that thesis is required to be embargoed for a period of time
- A filing receipt of a submitted patent application
- A letter from a prospective publisher showing that they would consider publishing works deriving from the thesis only if access to the thesis is restricted
- A copy of a notification that a patent has been granted.

¹ It is a requirement for the award of a research degree that a printed copy of the thesis is also deposited in UCD Library to be archived in a closed store.

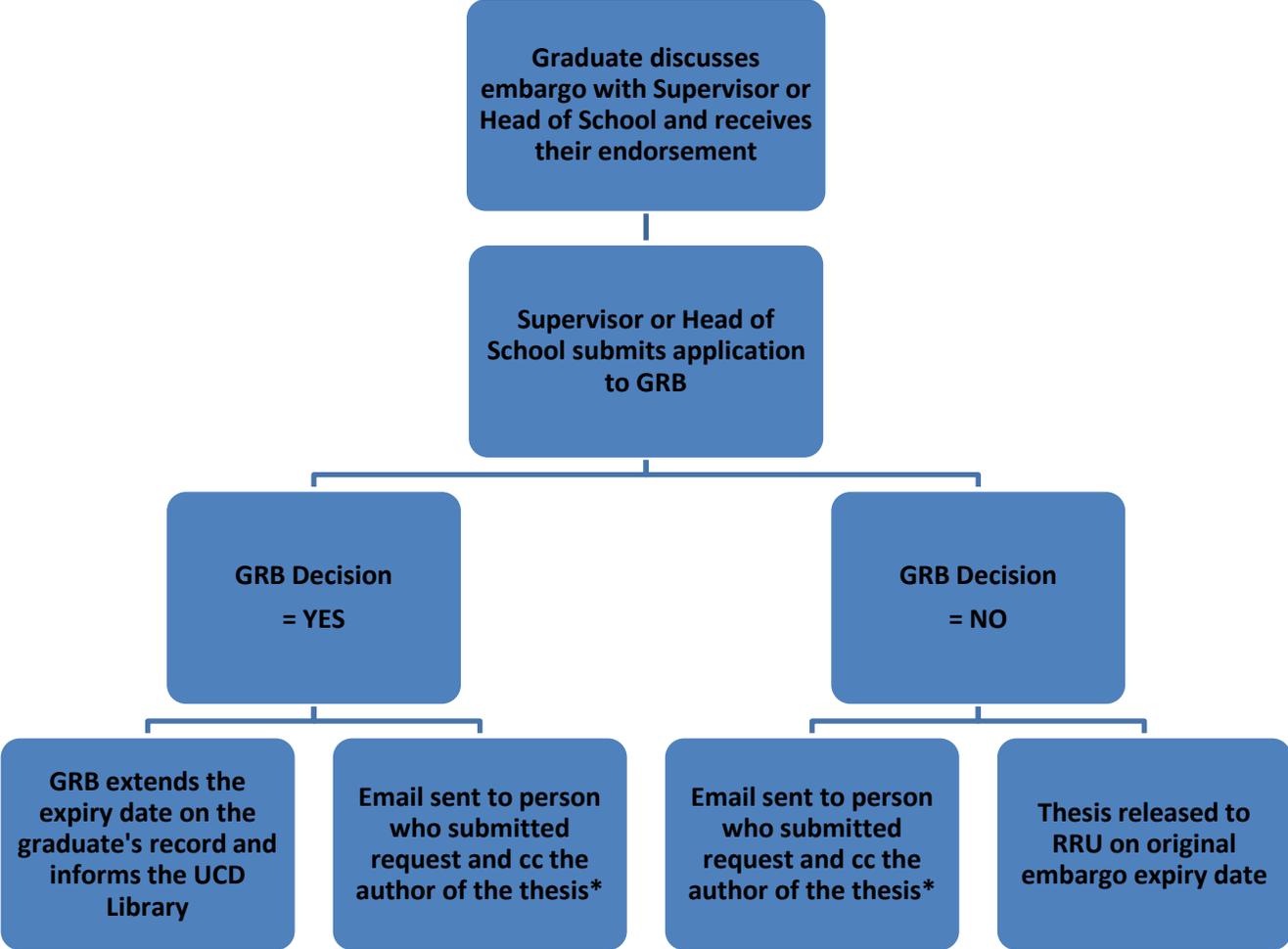
2. Procedure for Extending an Existing Embargo

Extending an embargo on a research thesis is an extremely rare occurrence. The author of the research thesis cannot apply for an extension since they are no longer a student of the University. For this reason, the graduate's Principal Supervisor or relevant Head of School will need to apply to the Graduate Research Board for an extension to an embargo period on behalf of the author, at least one month before the end date of the thesis embargo period.

- 1) The author consults with their Principal Supervisor or the Head of School of the School where they were registered regarding the requirement for an embargo and secures their permission to apply for an embargo extension.
- 2) The author prepares supporting documentation to make the case for extending an embargo on their thesis.
- 3) The Principal Supervisor/Head of School completes the Embargo Extension Request Form, with the endorsement of the author (Appendix 1) and submits it to the Graduate Research Board (GRB) by email to grb@ucd.ie, accompanied by the supporting documentation. If the supporting documentation is deemed to be of a confidential or sensitive nature, then it must be sent to the GRB securely e.g. via [HEAnet FileSender](#) or encrypted/password protected.
- 4) The GRB meets once a month and after considering the request will email the Supervisor/Head of School and the author with the result of the application:
 - A. If the embargo extension is approved, the embargo expiry date will be extended to the requested date.²
 - B. Once the thesis is embargoed, a citation to the thesis will always remain visible on the RRU.
 - C. Where the request for an embargo is denied, the thesis will be made accessible on the expiry date of the original embargo.

² The GRB will update the graduate's record with the extended expiry date and contact UCD Library who will modify the embargo expiry date on the library catalogue.

3.Flowchart



* Once the author of the thesis still has a valid UCD email

Appendix 1

Research Thesis Embargo Extension Request Form



This form is to be completed by the Principal Supervisor/Head of School on behalf of a graduated student who is the author of the research thesis which needs an extended embargo period to be applied.

1. Author details			
Surname			
Forename			
Student number		Degree	
Thesis Title			
School			
2. Principal Supervisor or Head of School Details			
Role: <i>Principal Supervisor or Head of School</i>			
Date that thesis embargo expires			

3. Embargo Extension Period Requested <i>Extensions will be from the date of the original embargo deadline</i>	
I am applying to extend an existing Embargo for	State Extension Period requested

4. Reason for Requesting an Extension to an Embargo Please provide full rationale for seeking an extension to the original embargo and the reason for the time period specified

5. Supporting Documentation May include confidentiality agreement, statement from publisher etc. If the supporting documentation is deemed to be of a confidential or sensitive nature, then it must be sent securely e.g. via HEAnet FileSender or encrypted/password protected.

I have attached:

6. Signatures

Name:

Role:

Signature:

(Applicant i.e., Principal Supervisor or relevant Head of School))

Date:

1) I declare that I have given permission to the applicant to seek extension to the embargo on my research thesis.

2) I understand that:

- Once the thesis is embargoed, a citation to the thesis will always remain visible.
- Where my request for an embargo is denied my thesis will be made accessible in the RRU upon the award of the degree.
- The University is subject to the Freedom of Information Act 2014 and over an approved embargo period access to my thesis may still be requested under that Act and that the University can refuse such requests only where the thesis qualifies under one of the Act's specified exemptions.
- My thesis will be made available in the normal way following the end of an approved embargo period.

Signed:

(author)

Date:

email to grb@ucd.ie

Version	Date	Description	Author
1.0	Sept 21	Policy Created	GRB
1.1	May 23	Included updates on requirement to submit extension one month before embargo expiry, added a statement on thesis citation being available on RRU, included steps GRB takes to update record and library if extension is granted, and updated flowchart regarding emails to students.	N. Guy GRB