

Embargo and Exemption Policy for the Submission of Works to NTU Digital Repository (DR-NTU)

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Access category: Open/Public

1. Policy Statement

- 1.1 This document details the conditions under which students, faculty and staff may request for embargo and exemption from submission of works to DR-NTU.

2. Background and Rationale

- 2.1 DR-NTU is the University's institutional repository that captures, stores and showcases the scholarly outputs of NTU students, faculty and staff so that they become easily findable and accessible.
- 2.2 The NTU Open Access Policy which came into effect in Aug 2011, requires graduate students (PhD and Masters by research) to submit their theses and NTU faculty and staff to deposit their papers (typically the accepted manuscript) into DR-NTU for open access. Doing so will also enable principal investigators to meet major funding agencies' open access requirements.
- 2.3 For graduate students doing Masters by coursework and undergraduates, many schools require them to submit their theses and Final Year Project (FYP) reports to DR-NTU. These works are placed under Restricted Access for internal sharing within the NTU community.
- 2.4 Under certain circumstances, NTU students, faculty and staff can place an embargo or seek exemption from submission of their works to DR-NTU.

3. Scope

- 3.1 This policy is applicable to NTU students, faculty and staff who need to embargo the full text of their works or seek an exemption from submitting their works to DR-NTU.

4. Definitions

4.1 The definitions of terms used in this document:

Open Access	Full-text and metadata of works are publicly viewable and downloadable.
Restricted Access	Metadata of works are publicly viewable, but full-text are shared and downloadable only within the NTU community
Embargo	Authors can delay the sharing of their works by specifying an embargo date. During the period of embargo, the full-text will be unavailable for viewing but the metadata is made publicly viewable. When the embargo expires, the full-text will be viewable and downloadable.
Exemption	Authors do not need to deposit their works in DR-NTU.
Theses	Full-text of higher degree theses by graduate students pursuing PhDs, Masters by research or Masters by coursework
Final Year Project (FYP)	Full-text of final year project reports by undergraduates

5. Policy

DR-NTU adopts a 4-tiered system to manage access to the scholarly works – open access, restricted access, embargo and exemption.

5.1 Students must obtain prior approval from their supervisor before placing an embargo or requesting for an exemption from depositing their theses and FYPs.

5.2 Faculty and staff whose works meet the acceptable reasons for embargo setting or exemption from depositing may do so and are not required to seek approval.

5.3 Embargo period

5.3.1 2 years is the maximum allowable period for an embargo. Any request for an extension will be reviewed and approved on a case-by-case basis by NTU Library.

5.3.2 When the embargo period expires, the embargo will be automatically lifted and the full-text will become viewable and downloadable.

5.4 Acceptable Reasons for an Embargo or Exemption Request

5.4.1 Acceptable reasons for requesting an embargo include:

- a) The work is pending publication.
- b) The work is pending patent application.
- c) To satisfy publisher's embargo requirements.
- d) Obligations to third parties.

5.4.2 Acceptable reasons for requesting an exemption include:

- a) The work contains personally identifiable information despite attempts to anonymize or remove personal data.
- b) The work contains sensitive or confidential information related to national security.
- c) The work contains data protected by intellectual property rights.
- d) Publishers do not allow self-archiving.
- e) Obligations to third parties.

5.4.3 Beyond the above reasons, any request for an embargo or exemption will be reviewed and approved on a case-by-case basis by NTU Library.

5.4.4 Whilst every care will be taken, NTU and the Library will not be liable for any loss or damage to the work while it is stored in DR-NTU or any loss incurred from the use of information contained in DR-NTU.

6. Process to obtain approval for embargo and exemption

6.1 This process is applicable to students' theses and FYPs (see 5.1)

6.2 To request an embargo or exemption, students need to submit the request via Student ServiceNow Portal. The request would be routed to the student's supervisor for approval.

6.3 If an embargo request is approved, students will deposit their work into DR-NTU and set the embargo period as required. Library will review, process, and approve the submission. Once the submission is published in DR-NTU, the metadata record of the work such as title, author, and abstract will be publicly viewable. The full-text will be available for viewing and downloading upon expiry of the embargo.

6.4 If an exemption request has been approved, students do not need to deposit their works into DR-NTU. PhD/Master by Research students should still deposit the non-sensitive metadata and abstract, where possible.

6.5 Students may write to library to extend or shorten an existing embargo.

7. Consulted Parties

7.1 The following people have been consulted in the drafting of this document.

Name	Designation	College/School/Department
Mr Chan Wei Chuen	Registrar	Student & Academic Services Department

8. Related Legislation, Policies, Procedures and Guidelines

Type	Document Title
Policy	NTU Open Access Policy

9. Responsible Parties and Contacts

Policy Owner: Ms Caroline Pang, University Librarian

Responsible Office: Office of Knowledge, Information and Library Services

For clarification on this policy, please contact:

Name	Designation	Email	Telephone
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10. Version History

Version	Approved By	Approval Date	Effective Date	Sections Modified
1	Library Management Meeting	27 May, 2020	1 June, 2020	
2	Library Management Meeting	28 Oct 2020	28 Oct 2020	Section 9
3	Team Leads Meeting	17 Oct 2023	28 Oct 2023	Section 6, 9