

Requesting an Embargo or Exemption for Thesis or FYP in NTU Research Repository (DR-NTU)

Issued: 1 May 2020

Next review: 1 May 2022

Access category: Public

1. Purpose and Scope

- 1.1 This procedure is an accompanying document to the **Embargo and Exemption Policy for the Submission of Works to NTU Digital Repository (DR-NTU)**.
- 1.2 It is applicable to students who need to embargo the full text of their higher degree theses or FYPs or seek an exemption from submitting their works to DR-NTU. It does not apply to NTU faculty and staff.

2. Definitions

- 2.1 Terms used in this document are defined as follows:

Theses	Full-text of higher degree theses by graduate students pursuing PhDs, Masters by research or Master by coursework.
Final Year Project (FYP)	Full-text of final year project reports by undergraduates.
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 (such as title, author and abstract) is created and made publicly viewable. When the embargo expires, the full-text will be viewable and downloadable.
Exemption	Authors do not need to deposit their works into DR-NTU.

3. Process

3.1 Putting up an Embargo or Exemption Request

- 3.1.1 Students must obtain prior approval from their supervisor before placing an embargo or requesting for deposit exemption. Acceptable reasons have been specified in 5.4 in the Policy.

- 3.1.2 To get approval from their supervisor, students need to fill in the **Request Form for Embargo or Exemption of Thesis/FYP in DR-NTU** (see Annex) and obtain their supervisor's endorsement by getting him/her to sign the form.
- 3.1.3 The embargo period is capped at 2 years from the date of submission. If a longer embargo period is required, please provide valid reasons in the form.
- 3.1.4 Once endorsement has been obtained, they must email the fully completed request form to NTU Library at library@ntu.edu.sg and copy their supervisor.
- 3.1.5 To extend or shorten an existing embargo on a work, contact the Library. The Library will review and approve it on a case-by-case basis.

3.2 Processing by NTU Library

- 3.2.1 Upon receiving the request, the Library will carry out the necessary verification and revert with a decision within 3 working days.
- 3.2.2 If an embargo request has been 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.
- 3.2.3 If an exemption request has been approved, students do not need to deposit their works into DR-NTU.

4. Roles and Responsibilities

- 4.1 Students must present valid reasons for an embargo or exemption request. Where possible, students should include some evidence to support the request such as correspondence with publisher regarding the intention to publish their FYP or thesis.
- 4.2 Supervisors are responsible for advising their students about open access and approving the embargo or exemption request.
- 4.3 Through DR-NTU, Library facilitates the sharing of knowledge and thereby increases research visibility.
- 4.4 The University (including the Library) shall not be liable for any loss or damage connected with the submission, storage or making available of the work on DR-NTU, or for any loss or damage arising from any use of data or information contained in DR-NTU by any person.

5. Consulted Parties

- 5.1 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

6. Related Legislation, Policies, Procedures and Guidelines

Type	Document Title (hyperlink to document if available)
Policy	NTU Open Access Policy https://www.ntu.edu.sg/Library/Documents/Open%20Access%20Policy.pdf
Policy	Embargo and Exemption Policy for the Submission of Works to NTU Digital Repository (DR-NTU) (link)

7. Responsible Parties and Contacts

Procedure 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
Mr Chia Yew Boon	Division Head, Knowledge & Research Services, Office of Knowledge, Information and Library Services	ybchia@ntu.edu.sg	6513 8225
Ms Ruan Yang	Senior Assistant Director, Office of Knowledge, Information and Library Services	RuanYang@ntu.edu.sg	6790 6356

8. Approval & Revision History

Version	Approved By	Approval Date	Effective Date	Sections Modified
1	Library Management Meeting	27 May, 2020	1 June, 2020	

Request Form for Embargo or Exemption of Thesis/FYP in DR-NTU

Full Name		Matric Number	
School			
Title			
Degree	<input type="checkbox"/> PhD <input type="checkbox"/> Master by Research <input type="checkbox"/> Master by Coursework <input type="checkbox"/> Bachelor Others: _____		
Click one option below and then fill in the portion accordingly <input type="checkbox"/> Embargo Request <input type="checkbox"/> Exemption Request			
Embargo Request	<p>Select an embargo period: <input type="checkbox"/> 6 months <input type="checkbox"/> 1 year <input type="checkbox"/> 2 years <input type="checkbox"/> Others: _____</p> <p>Select the reason: <input type="checkbox"/> The work is pending publication <input type="checkbox"/> The work is pending patent application <input type="checkbox"/> To satisfy publisher's embargo requirements <input type="checkbox"/> Obligations to third parties <input type="checkbox"/> Others (please specify): _____</p> <p><u>Exclusion of Liability (applicable if an Embargo Request is made)</u></p> <p>By submitting this form to apply for an Embargo Request, I, the Student whose name and signature is indicated at the bottom of this form, agree that the University (including the Library) shall not be liable for any loss or damage connected with the submission, storage or making available of the work on DR-NTU, or for any loss or damage arising from any use of data or information contained in DR-NTU by any person.</p>		
Exemption Request	<p>Select the reason: <input type="checkbox"/> The work contains personally identifiable information despite attempts to anonymize or remove personal data. <input type="checkbox"/> The work contains sensitive or confidential information related to national security. <input type="checkbox"/> The work contains data protected by intellectual property rights. <input type="checkbox"/> Publishers do not allow self-archiving. <input type="checkbox"/> Obligations to third parties. <input type="checkbox"/> Others (please specify): _____</p>		



Student's Name

Student's Signature

Date (YYYY/MM/DD)

Supervisor's Name

Supervisor's Signature

Date (YYYY/MM/DD)