



Policy on Open Access for Theses and Dissertations

Responsible Officer:	Provost & EVP - Academic Affairs
Responsible Office:	AA - Academic Affairs
Issuance Date:	3/25/2020
Effective Date:	3/25/2020
Last Review Date:	
Scope:	This policy applies to all graduate students who prepare theses or dissertations in a graduate degree program within the University of California system.

Contact:	Vanessa Murua
Title:	Senior Analyst
Email:	gradstudies@ucop.edu
Phone:	(510) 987-0695

TABLE OF CONTENTS

I. POLICY SUMMARY	1
II. DEFINITIONS	2
III. POLICY TEXT.....	2
IV. COMPLIANCE/RESPONSIBILITIES	3
V. PROCEDURES.....	4
VI. RELATED INFORMATION	4
VII. FREQUENTLY ASKED QUESTIONS	4
VIII. REVISION HISTORY	4

I. POLICY SUMMARY

The University of California (“University”) is committed to disseminating research and scholarship conducted at the University as widely as possible. Such commitment encompasses the scholarship generated by the University’s graduate students. The University affirms the long-standing tradition that theses and dissertations, which represent significant contributions to the advancement of knowledge and the scholarly

record, should be shared with scholars in all disciplines and the general public. To that end, this policy extends the principles of the University’s existing open access policies – including the Academic Senate’s policy dated July 24, 2013 and the systemwide Presidential policy dated October 23, 2015, and local open access policies already adopted at some University campuses – to theses and dissertations prepared by the University’s graduate students at all University locations. This policy requires theses or dissertations prepared at the University to be (1) deposited into an open access repository, and (2) freely and openly available to the public, subject to a requested delay of access (“embargo”) obtained by the student. The policy does not affect students’ copyright ownership rights in their theses or dissertations.

II. DEFINITIONS

Embargo is the delay in open access availability of a thesis or dissertation after its completion and deposit in an open access repository.

Graduate students refer to the University’s graduate academic and graduate professional students.

Nonexclusive license refers to a limited grant of rights to permit others to use a copyrighted work (e.g., thesis or dissertation) in specified ways, while not preventing copyright owners from exploiting for themselves – or granting to others – the same or other copyright rights.

Open access refers to the free and easy availability of scholarly works on the internet, permitting users to read, download, print, search, or link to the full texts of copyrightable scholarly works for any lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet.

Open access repository refers to any digital archive or platform designed to make scholarly works freely accessible via the internet. The California Digital Library’s eScholarship platform is the default repository for this policy.

University refers to The Regents of the University of California, also known as the “University of California.”

III. POLICY TEXT

A. Scope

This policy applies to all graduate students who author a thesis or dissertation as part of their University graduate degree requirements and following issuance of this policy. Upon express direction of the graduate student, the open access license in the next paragraph may be delayed for a specified period of time pursuant to Section III.D below. This policy does not affect copyright ownership of any thesis or dissertation.

B. Open Access License Grant

Each graduate student grants to the University a worldwide, nonexclusive license to exercise all relevant rights under copyright – including the reproduction and public

display rights – for the purpose of making the student’s thesis or dissertation authored at the University freely and publicly available in an open access repository in any medium.

C. *Submission of Theses and Dissertations*

To assist the University in archiving and openly disseminating theses and dissertations within the scope of this policy, all of the University’s graduate students will submit the final version of the student’s thesis or dissertation to the University before conferral of the student’s graduate degree, regardless of whether an embargo is obtained. Such thesis or dissertation will be made freely and openly available to the public after filing, unless the graduate student obtains an embargo pursuant to Section III.D below.

D. *Delay of Open Access / Embargo*

Graduate students may delay the date their theses or dissertations become available in an open access repository by specifying an embargo period consistent with what is permitted under local policies.

Upon extraordinary circumstances (such as a high legal or safety risk to the graduate student), an indefinite embargo may be granted for as long as such extraordinary circumstances exist pursuant to Section IV below.

IV. COMPLIANCE/RESPONSIBILITIES

A. *Authority*

The Provost and Executive Vice President for Academic Affairs is the responsible officer for this policy and has the ultimate authority to interpret and implement the policy as well as to develop procedures or other supplementary information. The Deans of the Graduate Division (or delegates of the Deans) for each campus or location are the responsible officers for this policy at the local level. They have the authority to develop local policies, guidelines, and implementation procedures not inconsistent with the systemwide policy.

B. *Compliance with the Policy*

The Dean of the Graduate Division (or delegate of the Dean) for each campus or location is responsible for local communication, compliance, and enforcement of this policy. The Deans (or their delegates) are authorized to grant: (1) embargoes requested post-filing of the thesis or dissertation; and (2) embargo extensions and an indefinite embargo, as set forth in Section III.D. above.

Each campus or location is responsible for providing theses or dissertations to the California Digital Library (“CDL”), and CDL is responsible for maintaining the open access repository and ensuring that the theses and dissertations within the repository are freely and openly available to the public. The Deans (or their delegates) will work with CDL, the Office of Scholarly Communication, and/or the University Librarians to support compliance with this policy and to obtain information to assess compliance.

V. PROCEDURES

Not applicable.

VI. RELATED INFORMATION

- [UC's Presidential Policy on Open Access \(Oct. 23, 2015\)](#)
- [UC's Academic Senate Policy on Open Access \(July 24, 2013\)](#)
- [UC Open Access Policy website](#)
- [UC's Presidential Policy on Copyright Ownership \(Aug 19, 1992\)](#)
- [UC's "Copyright" website](#)

VII. FREQUENTLY ASKED QUESTIONS

[UC's Office of Scholarly Communication Open Access Policy FAQ](#)

VIII. REVISION HISTORY

March 25, 2020: new policy issuance date

This Policy meets Web Content Accessibility Guidelines (WCAG) 2.0.