
Temporary Publication Restriction of Theses and Dissertations Procedures

Policy Sponsor:	Faculty of Graduate Studies (FGS)
Name of Parent Policy:	<u>Temporary Publication Restriction of Theses and Dissertations</u>
Policy Contact:	Dean FGS
Procedure Contact:	Dean FGS
Effective Date of Procedures:	January 1, 2011
Review Date:	Annually

Purpose

These procedures are intended to provide consistent criteria which are to be used by all graduate programs in special circumstances when the temporary restriction of publication of theses and dissertations is deemed necessary, as per the Temporary Publication Restriction of Theses and Dissertations Policy.

Definitions

Publication	Making information publicly available in a reproducible form in AUspace and Library and Archives Canada.
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Procedure

1. It is the responsibility of the supervisor to inform the student of policies or regulations that will affect the publication of their thesis or dissertation, such as requirements of agencies from whom the student may receive funding for their research and the University's policies such as public access to research results (Publication of Research) and the Temporary Publication Restriction of Theses and Dissertations policy, in their early discussions with the student regarding their research topic.

It is the responsibility of the supervisor to advise students prior to approving their research topic, against selection of a thesis or dissertation topic if the results cannot be published immediately upon fulfillment of the requirements of their degree.



Anonymity and confidentiality of participants and data in research is paramount. Approval from the AU Research Ethics Board will ensure that the anonymity of the sample (whether individuals, groups or organizations) is maintained. The Freedom of Information and Protection of Privacy Act and the Freedom of Information and Protection of Privacy Regulation also dictate that personal information not be included in documents that are considered to be public.

2. A request to withhold the publication of a thesis or dissertation must be made to the Dean, Faculty of Graduate Studies in accordance with the criteria specified in the Temporary Publication Restriction of Theses and Dissertations policy.
3. The student and supervisor must submit this request no later than when arrangements for the final oral examination are being discussed (at least 2 months prior to the anticipated date of the final oral examination).
4. The form [Request for Approval to Temporarily Restrict Publication of a Thesis or Dissertation](#) is to be completed by the student and supervisor (form attached).
 - a. The student initiates completion of the form.
 - b. The student specifies the restriction period up to a maximum of 12 months.
 - c. Documentation must accompany the form indicating how the request corresponds with one of the policy's criteria to restrict the publication of the thesis or dissertation.
 - d. The supervisor must sign the form indicating they agree with the request and may provide additional supporting arguments for the request and/or the length of the time restriction.
5. If external funding is involved, it is the responsibility of the student to consult with their funding sources regarding time restrictions on publication of research results. The length of time requested may be influenced by publication restrictions of various agencies who funded the student's research.
6. The student may choose to restrict access to their thesis or dissertation if posting their thesis or dissertation will interfere with traditional publication. While many journal and book publishers accept a thesis for traditional publication even if it is already available electronically on the website of an educational institutional, such as AUspace, there are some publishers that do not. It is the student's responsibility to become acquainted with the policies of a prospective publisher. If the publisher specifies a restriction period this should be provided under the "other" category for reasons for temporary restriction.
7. The request is submitted to the graduate program designate in the student's academic unit, who indicates their agreement with the request with recommendation to the Dean, Faculty of Graduate Studies.
8. The Dean, Faculty of Graduate Studies determines the outcome of the request.



9. The AU Library will post the abstract of the thesis or dissertation in AUspace with the disclaimer that the document has 'restricted access for the period of _____ months until dd/mm/yyyy'. The thesis or dissertation will not be made available for student or public access or for harvesting by Library and Archives Canada until after the restricted period.
10. Upon expiration of the restriction period, the thesis or dissertation will automatically be made available for publication in AU space and harvesting by Library and Archives Canada.

Applicable Legislation and Regulations

Freedom of Information and Protection of Privacy Act

Freedom of Information and Protection of Privacy Regulation

Copyright Act

Patent Act

Related References, Policies, Procedures and Forms

Copyright

[Protection of Privacy](#)

[Ethical Conduct for Research Involving Humans Policy](#)

[Student Confidentiality](#)

[Student Participation in Research Projects Policy](#)

[Publication of Research Policy](#)

[Open Access Research Policy](#)

Approval of Master's Thesis form

Final Approval of Dissertation form

[Request for Approval to Temporarily Restrict Publication of Thesis or Dissertation Form \(.pdf\)](#)

[Temporary Publication Restriction of Theses and Dissertations Policy](#)

History

Athabasca University Academic Council, December 15, 2010, Motion # 226-14 (Policy Approved)



Request for Approval to Temporarily Restrict Publication of Thesis or Dissertation

To be initiated by the student upon discussion and agreement with supervisor no later than when arrangements are being made for the final oral examination. To be agreed upon by the graduate program designate and then forwarded to Dean, FGS for final approval.

Student Name Student ID

Faculty Academic Unit

Degree Sought

Date of submission of request to FGS

Title of thesis/dissertation/project:

Check the applicable reason(s) for requesting that the thesis or dissertation be restricted temporarily from publication after fulfillment of degree requirements:

Time is required for completion and submission of a patent application for a device or idea that might emerge from the thesis or dissertation.

The thesis or dissertation describes something of considerable commercial viability which, if given an opportunity to develop, could benefit the student.

Funding for the research was provided by a sponsor who has requested a delay in publication.

Public interest is best served by a delay in publication.

Other reason (explain):

As a graduate student of Athabasca University, I am requesting that the Faculty of Graduate Studies approve the restriction of my thesis or dissertation from being published after I have completed all of the requirements for my degree for:

6 months 12 months



Attach a note explaining the reason for the restriction period requested.

This verifies that the request to temporarily restrict the publication of the above named thesis or dissertation has been agreed to by the following:

name of student

signature of student

Date

name of student's supervisor

signature of supervisor

Date

name of graduate program designate

signature of graduate program designate

Date

The Faculty of Graduate Studies:

Approves does not approve

the temporary restriction of the publication of the thesis or dissertation as noted above

Dean, FGS

signature of Dean, FGS

Date

The office of FGS then notifies the student's supervisor of the final decision by email.