

Guidance for the Permission to Deposit Thesis form

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Guidance for Research Student

Read this guidance before completing the Permission to deposit thesis form.

You should complete all sections of the Permission to deposit thesis form in consultation with your main supervisor.

Complete as much of the form online before you print it out; then get all the necessary signatures not forgetting your own. The form, along with any accompanying documents, should be submitted to your Faculty Graduate School Office with:

- one printed soft bound copy of your thesis (this is for the University Library)
- the electronic copy of your thesis

Further details about how the Library makes the print and electronic versions of your thesis available can be found on the [Library website](#).

Part A: Research Student Declaration

This section is a binding declaration and you should read it through carefully and then complete the section at the end of page 2. The wording cannot be changed and is supported by University regulations and code of conduct.

Covered Work

This declaration covers your thesis and the research data underpinning your thesis

Copyright

Students who are sponsored or co-sponsored should seek advice from their supervisor on whether there is an agreement in place that might affect the retention of their copyright in the thesis or requirement to obtain permission to publish.

Third-Party Copyright Material

When you include material produced by others, such as photographs, drawings, diagrams, data or graphs, these are often covered by third party copyright. These can be included in your examination copy, but for your final version you may require permission from the copyright holder unless use is covered by the 'fair dealing' criticism and review exceptions.

- a. Copies of the permissions for the inclusion of third party copyright material in the print or electronic version of the thesis should be attached to this form if re-use is not covered by fair dealing copyright exemptions.
- b. Whilst you are being asked to make the best efforts to seek permission to include third party copyright material in the e-version of your thesis, the University recognises this will not always be possible. You will not be penalised if it has not been possible to obtain permission either because permission has not been granted or is too expensive. No student should be required to pay copyright holders for material they wish to include.
- c. If it has not been possible to obtain permission, please discuss with your supervisors the possibility of moving the copyright material to a separate appendix (which will then be embargoed). Placeholders can be added where material is removed either pointing to the appendix or the source of the material. If this is not feasible, then the e-thesis may need to be embargoed until the copyright expires. Provide details in Part B section 3 on what needs the longer embargo.
- d. Further information on copyright can be found on the University Library thesis [website](#).

Non-exclusive Rights

This is a necessary section to allow the University to preserve your thesis over time.

Deposit into the institutional repository

Theses are uploaded to the University Repository via Pure and are made publically available via ePrints Soton. This is done by Administrators in the Graduate School Office.

University of Southampton Thesis Licence

This is the standard University licence that is applied to the electronic thesis. The wording should not be changed in any way. A copy of the licence should be inserted at the front of your electronic thesis. This can be done using the Copyright Statement Coversheet that is available from the [Library thesis templates page](#). It should not be included as part of the numbered pages. A guide on how to do this is available from the [Library thesis website](#) for Word documents (PC or Mac).

Part B: Preferred access – research student request

Wherever possible you should aim to make your thesis available with no embargo or where required, as short an embargo as possible. University regulations¹ state that

“In exceptional circumstances access to a thesis may be restricted through embargo by the Faculty Director of the Graduate School in their capacity as Chair of Faculty Graduate School Committee, where such restriction is regarded as desirable on commercial grounds or pending patent applications, or as necessary to maintain confidentiality. The period of restriction shall be determined by the Faculty Director of the Graduate School but shall normally not exceed three years from the date of examination. After three years the period of restriction may be subject to extension in some circumstances and will require the approval of the Director of the Doctoral College. ...”

You should check with your funder or industrial partner if there are any specific requirements that you need to meet. For example, the minimum requirement for those funded by UKRI Councils is that:

- “metadata describing the thesis should be lodged in the institution's repository as soon as possible after award”
- “... a full text version should be available within a maximum of 12 months following award.” (Research Councils UK (2018) [Terms and conditions of Research Council Training Grants](#) TGC 15 p.22)

Embargoes

You and your supervisor should discuss any embargo period at an early stage so that after the viva, and when you have completed any corrections, you with your supervisor can enter the agreed embargo end date on the ‘Permission to Deposit Thesis Form’ and sign it. The form should then be referred to the Faculty Director of the Graduate School for signature on behalf of the Faculty Graduate School Committee. Each instance of approval of restriction of access to a thesis will be reported to the University Library, using the ‘Permission to Deposit Thesis Form’, who will maintain a master list of embargoed theses on behalf of the University.

It is recognised that there may be exceptional circumstances arising where an embargos will be longer than 3 years. As it is not possible to set out a definitive list of what exceptional circumstances should be considered, Faculties should exercise their discretion as appropriate and with due regard to the facts of any particular situation. Reasons in support of **all** embargoes should be given on the form.

There is no situation where an embargo should be selected for print only.

Extensions to embargoes should be emailed to ePrints@soton.ac.uk in the first instance and these will be forwarded to the Director of the Doctoral College for approval. Requests for an extension to a thesis, where the original embargo period has ended and the thesis has become openly available will not be accepted.

Theses with an embargo on the electronic thesis are not usually available for inter-library loan.

You should provide an explanation in support of **any** embargo requested. For example, patent pending should provide details of who is leading on the application, stage of the process and the expected timeframe. Supporting evidence should be attached where you have a legal requirement to restrict access such as a commercial contract. It is especially important to provide clear information when you select the ‘other’ option to ensure that your supervisor and the Director of the Graduate School have sufficient information to approve the embargo.

¹ Paragraph 51 of the Regulations for Research degrees

Access to thesis – Embargo requested

Embargo on
Print Electronic

a. Commercial Contract

The contract with a sponsor states that the research must remain confidential for a given number of years. Please state the name of the sponsor and the number of years in Part B, section 3. Provide evidence.

✓ ✓

b. Patent Pending

The University or a sponsor has lodged, or imminently intends to lodge, a patent application relating to an invention described in a thesis. The thesis should be embargoed until after publication of the patent by the relevant patent office. Please provide a contact for this application in Part B, section 3 and expected timeframe.

✓ ✓

c. Ethical Considerations/data protection/Confidentiality

Ethical considerations and data protection matters will usually have been considered when the ethics committee was reviewing the research proposal. Please provide the ERGO or other ethics approval number in Part B, section 3.

Where circumstances have changed, such as a change in a political regime, and it may cause harm to make the thesis available immediately, an embargo can be applied.

✓ ✓

It is not expected that a thesis should contain identifiable special category data. Where it may be pertinent to do so, and it is possible, this material should be moved into a separate appendix that can be embargoed permanently.

OR

It is not usual for ethical considerations or data protection matters to apply on the electronic version only, but there may be circumstances where it would be prudent to do so. For example, this may relate to situations where the author or participants (named or not) may be opened up to harm should the thesis be widely available on the internet.

✓ only

d. Third-Party Copyright

The electronic copy of the theses containing un-cleared third party copyright material, not covered by fair dealing exceptions, should be embargoed until the material is no longer under copyright, unless this can otherwise be removed from the electronic version of the thesis as set out above under Third-Party Copyright (see Part A Guidance above).

✓

e. Publication Pending

Some publishers may consider publicly available electronic theses as prior publications, but not all. For example, [Elsevier](#), [Institute of Physics](#), [Nature](#), [Wiley \(p4\)](#) do not. If you have not finished publishing from the thesis, you may request that the **electronic** thesis be embargoed, where this applies.

✓

f. Other

This needs to be a substantial reason and will depend on the type of research undertaken. The reason must be justifiable to demonstrate that an embargo outweighs the public interest in access to the research.

✓ ✓

This option cannot be used to embargo the print under ‘publication pending’. Publishers do not view access to the print thesis as prior publication therefore only the e-theses needs to be embargoed where this is a valid reason.

OR

✓ only

This can be applied to both print and electronic, or electronic only. There is no situation where an embargo should be placed for print only.

Further information on embargos can be found on the University Library thesis [website](#).

Part C: Preferred access to my research data

You should deposit research data associated with and/or underpinning assertions in your thesis as a separate deposit in the institutional repository as required under the University [Research Data Management policy](#)². A guide is available - <http://library.soton.ac.uk/thesis/data>.

For data that can be shared, either openly or on request, you will be assigned a Digital Object Identifier (DOI) that you can embed in your thesis.

You and your Supervisor(s) should discuss the deposit of your research data in sufficient time to allow you to embed links in your final thesis. Timing of the deposit and its release should be agreed and signed off using on the Permission to Deposit thesis form prior to the registration of the DOI and a copy of the relevant pages emailed to researchdata@soton.ac.uk

Restrictions on access to research data, where required, should be appropriate to the data. For the avoidance of doubt, section 51 [Regulations for Research Degrees](#) concerning embargo length does not apply.

If you have large files (4GB+) contact researchdata@soton.ac.uk to discuss upload and storage options.

Data held in Pure as 'Entry in Progress' are not publically available and records can be updated.

Prior to deposit it is important that you consider whether there are any reasons that require access to your data is restricted in the short or longer-term, permanently or if it is not appropriate to deposit the data. Reasons might include:

- Ethics – check your ethics approval for what you agreed with participants,
- Confidentiality – is your research sponsored by a commercial company with a confidentiality agreement? Is your research using confidential medical data that has to remain within a specific data centre, for example, MRC Centre
- any legal, regulatory or funding restrictions
- IPR ownership or commercial potential – is there a patent pending? (see guidance on thesis embargo above)

You should check that you have permission to deposit data derived from third party data sources, for example, Datastream and, where you have that permission, the copyright owner should be clearly acknowledged on the record and in the README file.

A README file should accompany all dataset deposit – see [thesis_readme_template](#)

If there are more than one dataset that underpins the thesis sections 1-4 should be copied and completed for each dataset.

For datasets already published, for example, any data that has been published in support of articles, conference papers or posters etc. that are derived from your thesis research, complete section 5.

If you have no research data underpinning your research due to the nature of your research complete section 6 and discuss with your supervisor.

For further information see

- the University of Southampton [Research Data Management Policy](#)
- University Library [webpages](#) and
- [Thesis Data Deposit guide](#)

² Deposit of research data for those who started prior to 2018/19 is encouraged but is optional.

Guidance for Supervisor and Director of Graduate School

Part D: Preferred access – academic signatories

Main supervisor

It is recommended that the main supervisor should discuss the Permission to Deposit Thesis form with the student when they are about to complete their Intention to submit form.

Further guidance is available from <http://library.soton.ac.uk/thesis/supervisors>

Guidance on Copyright

Students who are sponsored may be required to seek permission from their sponsor/co-sponsor prior to publication. In some circumstances the sponsor or co-sponsor may share copyright and this would need to be acknowledged in the thesis.

Third party copyright materials can be included in the examination copy of a thesis. Where fair dealing does not cover the use of the material, the student will be required to obtain permission to include that material in the final electronic version and those permissions should accompany the Permission to Deposit Thesis form.

Fair dealing is the current copyright exception that allows third party copyright to be included where it is subject to criticism and review. Much of the material included in a thesis will be covered by this exception but not in all cases. Where the third party material forms a substantial amount or a whole, for example a complete poem, then permission will be required unless it is already out of copyright.

Where permission has not been obtained and it is appropriate to do so, material can be moved to a separate appendix with an embargo until copyright expires. Candidates should be advised to add placeholders. Details should be recorded in Part B section 3 on what files need the longer embargo.

Where it is not appropriate to move third party copyrighted material the thesis may need an embargo to be set to a date when the copyright expires. This will be an exception under the regulations.

Students are not expected nor required to pay for permission. If payment is the only route to obtaining permission then either the material needs to be moved or the thesis embargoed.

Further guidance on how to obtain permission is available from <http://library.soton.ac.uk/thesis/copyright>

Embargoes

University Of Southampton Regulations and UKRI requirements expect that theses are open as early as possible. UKRI state that "... a full text version should be available within a maximum of 12 months following award." (Research Councils UK (2018) [Terms and conditions of Research Council Training Grants](#) TGC 15 p.22)

Unless there are good reasons (academic, legal or commercial) a thesis should be made available as soon as possible after confirmation of the award.

Publication Pending should only be applied, where appropriate, to the electronic thesis and 'Other' should not be used for this purpose.

Where there are commercial constraints, such as patent pending, it is essential that contact information is provided to enable the correct process at the expiry of any embargo.

The embargo on an electronic thesis will be removed automatically when the embargo period ends. It is the responsibility of the student to request an extension to an embargo prior to that date.

Research Data

Data should be as open as possible, and closed as necessary.

All researchers are required to follow the University [Research Data Management policy](#) with regard to the deposit of research data. The minimum requirement is that there is a data record in Pure describing the data and where it can be found.

Restrictions on access to research data, where required, should be appropriate to the data. For the avoidance of doubt, section 51 [Regulations for Research Degrees](#) concerning embargo length does not apply.

Data that is too large for deposit in Pure, or may not be suitable for deposit, should be stored in a location agreed by iSolutions. Data cannot remain on the students University storage areas as these will be deleted when the student account expires.

Complete section 6 where there is no data. For example, this may be where the thesis is purely theoretical, where the research data is part of a larger project and it is inappropriate to deposit a subset, or where the nature of the data requires that the data be destroyed at the end of the project.

Director of the Faculty Graduate School

The Director of the Faculty Graduate School should review and if in agreement, sign off the embargo for a thesis requested by the student. The Permission to Deposit Thesis form and the print thesis should be sent to the Library as soon as possible after the award as the Library is responsible for maintaining the register of all theses and embargo periods.

Note: Theses that contain confidential information and are embargoed are held securely in the Library. All print theses are held in a closed access area, available only request.

Embargoes

University Regulations state that embargoes should be applied in exceptional circumstances and UKRI have a requirement that

“... a full text version should be available within a maximum of 12 months following award.”
(Research Councils UK (2018) [Terms and conditions of Research Council Training Grants](#) TGC 15 p.22).

Unless there are good reasons (academic, legal or commercial) a thesis should be made available as soon as possible after confirmation of the award.

However there are circumstances where the embargo may need to be longer than the 3 years given in the regulations.

Research Data

Any embargo on research data should be appropriate to the data. If the nature of the data warrants long-term embargo, access on request or permanent embargo then this should be applied and does not contravene the University Regulations (section 51) or the University Research Data Management policy.

Guidance for Faculty Graduate School staff

On receipt of a final version of a thesis, Graduate School staff should:

- Check the final soft bound copy includes
 - Signed Declaration of Authorship
- Check the electronic version
 - Is a PDF document that opens
 - Has the Copyright Declaration at the front and is not included in the page numbering
 - The Declaration of Authorship is included but unsigned
- Upload the electronic version to Pure immediately adding embargoes as given on the Permission to Deposit Thesis form. There should be no delay in uploading to Pure. If there are any issues contact eprints@soton.ac.uk for guidance.
- Check for documents required to support embargoes for commercial or patent pending have been attached

- Check that Permissions to include third party copyright materials are attached to the Permission to Deposit thesis form.
- Send the soft bound final copy with the Permission to Deposit Thesis form to the library as soon as possible.

Embargoed theses are held securely and are not available to access until the period has ended. Print theses with no or expired embargoes are held in a closed access area and are available for consultation in the library on request.

The soft bound and electronic copies should not be retained in the School or Faculty until the embargo has expired.

Students requesting any extension to an embargo should in the first instance be directed to contact eprints@soton.ac.uk stating the reason for requesting the extension. Advice and information will be collected from the Graduate School and/or Supervisor as required to support the extension. Once collected, the information along with details of the thesis will be forwarded to the Director of the Doctoral College for approval.