

ROYAL HOLLOWAY

University of London

Electronic Thesis (e-thesis) Submission Policy

The original policy was approved at the June 2010 meeting of the Academic Board for implementation from 1st October 2010. It was drafted by a cross-College E-thesis Working Group reporting to the Learning, Teaching and Quality Committee, taking into account feedback received from Graduate School Forum, the three Faculty Boards and the Research & Enterprise Office.

This policy was amended in January 2012 and March 2016 to reflect changes in the Research Degree Regulations and was approved by Academic Board on 9th March 2016.

Policy last revised: 10th June 2016

ROYAL HOLLOWAY ELECTRONIC THESIS SUBMISSION POLICY

1. Preamble

Royal Holloway, University of London supports electronic thesis submission as part of its commitment to the principles of the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities¹ that the outcomes of publicly funded research should be made available as widely as possible. It complements and reinforces the College's Open Access Publications Policy.

E-thesis submission benefits the research student by:

- Making their research available within weeks of completion
- Making their research available on the Web to the widest possible audience
- Placing their research and researcher profile alongside other research and researchers in the same discipline
- Reducing their research costs, such as binding fees.

E-thesis submission benefits the university by:

- Showcasing more of the College's publicly funded research on the Web
- Demonstrating a commitment to Open Access principles and values
- Reducing the Library space, storage and management costs required for storing and managing multiple copies of print theses and retrieving them later for consultation
- Reducing the administrative overhead of research degrees through online processes

2. Scope of e-thesis submission

This policy applies to the online submission of the final, post-viva, corrected version of a thesis only.

3. Effective date of implementation

The policy applies to those research students submitting examination entry forms on or after 1st October 2010.

4. Level of research award covered

E-thesis submission will apply initially to the following research awards at Royal Holloway:

- PhD
- MPhil

It will also apply to the following awards once they have been formally incorporated under the aegis of the Research Degree Regulations:

- Masters in [X discipline] by Research

The following awards are specifically excluded from formal e-submission requirements but alternative means of electronic dissemination of their outputs will be explored in future:

- Professional doctorates (DBA, DLitt, DSci, DClinSci etc)
- Taught Masters (MBA, MSc, MA etc)

¹ Open Access Conference – Berlin Declaration, <https://openaccess.mpg.de/Berlin-Declaration>

5. Formats

The electronic thesis should be submitted in an accessible PDF format and laid out according to the existing specifications for theses.

Ancillary material that would normally be submitted as appendices (e.g. on separate physical media) may be uploaded as separate files with the main thesis PDF file.

Students are also required to check any requirements relating to Open Access research dataset archiving as part of any sponsoring institution funding and contact the Library for advice on appropriate hosting services.

6. Submission mechanism

Research students will be expected to use the College's Research Information System (Pure) to formally submit the electronic version of their thesis.

7. Attribution

The title page of the electronic thesis PDF file is required to display the following information:

- Author's name
- Approved title of work
- Year of submission
- Royal Holloway, University of London
- Any departmental or research group affiliation essential for national research assessment purposes

8. Copyright

At Royal Holloway, copyright of the thesis in all its forms rests with the student (as author), unless copyright has been assigned to another party. Research students are required to assign the College permanent non-exclusive archiving and publishing rights for their e-theses as part of the examination process. This is necessary because making an e-thesis available via an Open Access repository constitutes a form of publication unlike conventional storage of a print thesis in a university library.

The onus is on the student to:

- a) check their thesis before submission (ideally during the writing-up stage) for any substantial subsidiary material owned by third-party copyright holders.
- b) seek and obtain permission from the appropriate third-party copyright holder to include such material in any version of the thesis made available in digital format over a communications network (pro-forma correspondence for this purpose will be made available).
- c) sign a Royal Holloway Electronic Thesis Deposit Agreement form to assign certain non-exclusive rights to the College and British Library and declare that copyright compliance checks have been made.

9. Take-down policy

A 48 hour “take-down” policy will apply to any disputed College e-theses in the public domain made available via College systems to reduce the litigation risk to the College of any e-thesis contravening copyright, data protection and libel laws etc.

10. Permitted embargoes and access restrictions

In recognition of the right for research students to seek to profit academically and commercially from their own research, students will have the right to select an embargo on public access to their electronic thesis for a period of two years from the date of award without any formal justification or approval required. This embargo will be specified on the examination entry form and as part of the upload process.

Should a student require an embargo period greater than two years for their e-thesis from the date of award then they may use the formal request for access restriction procedure in Section 20 of the College’s Research Degree Regulations upon submission of their entry form, detailing the reasons for the access restriction and the length of embargo.

Normal reasons for lengthy embargoes are:

- a) confidentiality (as in the case where a company provides highly sensitive commercial information),
- b) commercialisation, where Research & Enterprise (R&E) or R&E/the sponsor in collaboration with the inventor(s) wishes to commercialise results (including output from theses), or reasons relating to those imposed by a company sponsoring the PhD or in order for the student to produce a patent application or if it can be demonstrated that a commercial publisher is still considering the thesis, or a work substantially developed from that thesis, for publication.

11. Dissemination

Unless embargoes on access have been applied, Royal Holloway e-theses will be made available to institutions and individuals via the Web including but not limited to: the College’s website and research portal, via Pure, the College’s Research Information System and Open Access research repository. They will also be made available via the British Library’s EthOS service².

Metadata will also be shared with other third-party external systems and their associated automated agents (including but not limited to: Google Scholar, DART-Europe E-theses Portal, ProQuest Dissertations & Abstracts, Index to Theses etc).

²EThOS, <http://ethos.bl.uk>

12. Support

General guidance will be published alongside the necessary forms on the Research degrees website

Specific guidance on issues relating to copyright and use of third-party material will be provided by the Library in the first instance and incorporated into the Library's postgraduate research training programme.

The IT Department will advise on technical issues relating to file formatting, scanning and associated software.

Appendix A– Royal Holloway, University of London: Electronic Thesis Deposit Agreement

I wish to deposit an electronic copy of the Work in to Pure, the College's research information system and with the British Library to be made available via the EThOS electronic thesis service.

Whether I deposit my Work personally or through an assistant or other agent, I agree to the following:

NON-EXCLUSIVE RIGHTS

Rights granted to Royal Holloway, University of London and the British Library and the user of the thesis through this agreement are non-exclusive. I retain all rights in the Work in its present version or future versions. I agree that the Research Repository administrators and the British Library or their agents may, without changing content, digitise and migrate the Work to any medium or format for the purpose of future preservation and accessibility.

DEPOSIT IN THE ROYAL HOLLOWAY, UNIVERSITY OF LONDON RESEARCH REPOSITORY AND IN THE BRITISH LIBRARY EThOS SYSTEM

I understand that work deposited in the Research Repository and with the British Library will be accessible to individuals and institutions via the Internet and through the EThOS system subject to the terms and conditions I grant below to Royal Holloway, University of London and the British Library and to the user of the thesis. I understand that, through the medium of the Internet, files will also be available to automated agents, and may be searched and copied by text mining and plagiarism detection software.

I DECLARE AS FOLLOWS:

That I am the author and owner of the copyright in the Work and/or I have the authority of the authors and owners of the copyright in the Work to make this agreement and grant Royal Holloway, University of London and the British Library a licence to make available the Work in digitised format through the Research Repository and through the British Library via the EThOS service for the purposes of non-commercial research, private study, criticism, review and news reporting, illustration for teaching, and/or other educational purposes in electronic or print form.

- That if my thesis/dissertation does include any substantial subsidiary material owned by third-party copyright holders, I have sought and obtained permission to include it in any version of my Work available in digital format via a stand-alone device or a communications network and that this permission encompasses the rights that I have granted to Royal Holloway, University of London and to the British Library (sample letters are available on request if permission is required).
- That the digital version of the Work I am supplying is as approved by the examiners at the time of the award of my degree
- That I have exercised reasonable care to ensure that the Work is original, and does not to the best of my knowledge break any UK law, infringe any third party's copyright or other Intellectual Property Right, or contain any confidential material

I understand that neither Royal Holloway, University of London nor the British Library have any obligation to take legal action on behalf of myself, or other rights holders, in the event of infringement of intellectual property rights, breach of contract or of any other right, in the Work.

Please sign this page and return it to:

June 2016

Examinations and Research Degrees Office
Royal Holloway, University of London
Egham
Surrey
TW20 0EX

Name

Address

Signature: **Date:**