

Permission to deposit thesis form: guidance

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Guidance for the research student

This guidance is for those students who have completed the intention to submit their thesis for examination process outside of PGR Manager.

You should read this guidance before completing the [Permission to Deposit Thesis Form](#). You should complete all sections of the Form in consultation with your main supervisor.

You should complete as much of the form electronically in advance of printing it out and adding your signature and obtaining signatures from your main supervisor and from the Faculty Director of the Graduate School.

The completed and signed form, together with any accompanying documentation, should be submitted to your Doctoral College (Faculty) Team with:

- one electronic copy of your final thesis (e-thesis*), including all corrections/amendments made.

If you have had to redact any material, you must submit the following:

- One unredacted and complete electronic copy of your final thesis (e-thesis*): this is for archival purposes
- One redacted electronic copy of your final thesis (e-thesis*): this will be made publicly available in the institutional repository**

* Your e-thesis must be submitted in portable document format (PDF), with PDF/A-3 required. This ensures that the file is self-contained, allowing it to be rendered as intended when opened, that your research is future-proofed with new software and operating systems, and allows for the embedding of other file formats, e.g. Excel). Further information on electronic submission and file formats can be accessed via the [Producing and submitting your thesis – student guidance](#).

** Further details about how the Library makes 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 the [Regulations for Research Degrees](#) and the [Code of Practice for Research Degree Candidature and Supervision](#).

Covered Work

This declaration covers your thesis and the research data which underpins your thesis

Copyright

If you are sponsored or co-sponsored, you should seek advice from your main supervisor as to whether there is an agreement in place that might affect the retention of your 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 the thesis you submit for examination, but for the final thesis that you submit for award may require you to obtain permission from the copyright holder unless its use is covered by the 'fair dealing' criticism and review exceptions.

- a. Copies of the permissions for the inclusion of third-party copyright material your final thesis should be attached to the Permission to Deposit Thesis 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 your final thesis, the University of Southampton does recognise that 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, you must provide one unredacted and complete copy of your final thesis and one redacted copy of your final thesis. Placeholders can be added where material is removed in the redacted copy to keep the page numbering the same as the complete unredacted copy. The unredacted and complete copy of your final thesis will be embargoed until the material is no longer in copyright. You must provide details in Part B section 2 and 3 on what length of embargo period is required.
- 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. You are able to do whatever you wish with your thesis, including publication, however the University of Southampton has your permission to hold a copy and ensure it will be accessible in the future.

Deposit into the institutional repository

Theses are uploaded to the Institutional Repository via [Pure](#) and are made publicly available via ePrints Soton. This is done by the Doctoral College (Faculty) Team (if you are not using PGR Manager).

University of Southampton Thesis Licence

This is the standard University licence that is applied to the thesis. The wording should not be changed in any way. A copy of the licence should be inserted at the front of your 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 to your thesis – research student request

Research work submitted as a thesis for a research degree should be openly available and subject neither to security classification nor to restriction on access. Your thesis should therefore be open and available via the Institutional Repository from as early as possible and in line with any requirement stipulated by your funder.

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

- “... a full text version should be available no longer than 12 months following award of the doctorate.” ([UKRI Training Grants: Standard Terms and Conditions of Training Grant, TGC 11.5](#))
- “In the case of doctoral theses funded by the Councils, metadata describing the thesis should be lodged in the institution's repository as soon as possible after award.” ([UKRI Training Grants: Guidance, TGC 11](#))

Restricted access (thesis embargo)

Partnership agreements for research projects that involve a commercial partner or other third-party collaboration may include clauses that set out potential restrictions and embargoes on the publication or other use of data from the project, during and after it has been completed. 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 the Faculty Graduate School Subcommittee, where such restriction is regarded as desirable on commercial grounds, pending publications or patent applications, or as necessary to maintain confidentiality, the safety of those involved in the research (e.g. students, supervisors and participants), or national security. 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 (or twelve months for pending publications). The period of restriction

may be subject to extension in some circumstances and will require the approval of the Director of the Doctoral College. The period of extension may not exceed one year in duration.

You and your supervisor should discuss any embargo period at an early stage (and preferably by the time you notify your intention to submit your thesis for examination) so that after the examination process has been fully completed (including completion and certification of any required amendments) you can complete the required processes for requesting an embargo period using the Permission to Deposit Thesis Form.

Requests for extension to an approved embargo period should be emailed to ePrints@soton.ac.uk in the first instance and no later than 20 working days before the end of the current embargo. Such requests will be forwarded to the Director of the Doctoral College for a decision. Where your supervisor is aware of ongoing reasons for maintaining the embargo, they may apply for an extension to the embargo period. If this occurs, you will be informed and will have the right to reply.

Requests for an extension to a thesis embargo where the original embargo period has already ended and the thesis has become openly available, will not be accepted.

Theses with an embargo on the electronic thesis copy (e-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 Faculty Director of the Graduate School have sufficient information to approve the embargo.

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

	Access to thesis – embargo requested	(tick ✓)
a.	<p>Commercial contract</p> <p>The contract with a commercial partner or other third-party collaboration states that the research must remain confidential for a given number of years. Please state the name of the commercial partner or other third-party collaboration and the number of years in Part B, section 3. Provide evidence.</p>	✓
b.	<p>Patent pending</p> <p>The University or a commercial partner or other third-party collaboration 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.</p>	✓
c.	<p>Ethical considerations/data protection/confidentiality</p> <p>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.</p>	✓
d.	<p>Third-party copyright</p> <p>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).</p>	✓

e.	<p>Publications pending</p> <p>Some publishers may consider publicly available electronic theses as prior publications, but not all. Most journal publishers do not view a thesis as prior publication, example.e., Elsevier, Institute of Physics, Nature, Springer and Wiley do not. If you have not finished publishing from the thesis, you may request that the electronic thesis be embargoed.</p>	✓
f.	<p>Safety of those involved in the research (including students, supervisors and participants) and national security</p> <p>Where circumstances have changed, such as a change in a political regime, and where it may cause harm to make the thesis available immediately, an embargo can be applied.</p> <p>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, there should be two versions of the thesis submitted, one publicly available with the material redacted and a complete version that can be embargoed permanently.</p>	✓
g.	<p>Other</p> <p>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.</p>	✓

Part C: Preferred access to your 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 by the [Research Data Management Policy](#)¹. 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, paragraph 13.7 of the [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 publicly 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

¹ Deposit of research data for those who commenced their studies prior to 2018/19 is encouraged but is optional.

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

Guidance for the main supervisor, the Faculty Director of the Graduate School, and the Doctoral College (Faculty) Team

Part D: Preferred access – academic signatories

Main Supervisor

It is recommended that the research student's 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 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 candidates should provide an un-redacted, complete, version for archival purposes and a redacted version to be made publicly available in the institutional repository. Candidates should be advised to add placeholders in the redacted version to ensure page numbers do not change between the examined and public copies. Details on embargo length for the complete version should be recorded in Part B section 3.

Students are not expected nor required to pay for permission. If payment is the only route to

obtaining permission, then the material needs to be removed from the public version and the complete thesis embargoed.

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

Restricted access (thesis embargo)

The University of Southampton and UKRI expect that theses are openly available as early as possible. For example, the minimum requirement for students funded by UKRI Councils is that "... a full text version should be available no longer than 12 months following award of the doctorate." (UKRI [UKRI Training Grants: Standard Terms and Conditions of Training Grant, TGC 11.5](#)) and "In the case of doctoral theses funded by the Councils, metadata describing the thesis should be lodged in the institution's repository as soon as possible after award." ([UKRI Training Grants: Guidance, TGC 11](#))

Partnership agreements for research projects that involve commercial partners or other third-party collaborations may include clauses that set out potential restrictions and embargoes on the publication or other use of data from the project, during and after it has been completed. 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 the Faculty Graduate School Subcommittee, where such restriction is regarded as desirable on commercial grounds, pending publications or patent applications, or as necessary to maintain confidentiality, the safety of those involved in the research (e.g. students, supervisors and participants) or national security. 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 (or twelve months for pending publications). The period of restriction may be subject to extension in some circumstances and will require the approval of the Director of the Doctoral College. The period of extension may not exceed one year in duration.

You should discuss any embargo period with the student at an early stage (and preferably by the time they notify their intention to submit their thesis for examination) so that after the examination process has been fully completed (including completion and certification of any required amendments) the student can complete the required processes for requesting an embargo period using the Permission to Deposit Thesis Form.

Pending publications should only be applied, where appropriate, to the electronic thesis and 'Other' should not be used for this purpose. Most journal publishers do not consider theses as proper publication. Monograph publishers are more circumspect.

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 at the latest 20 working days prior to that date. Where supervisors are aware of legitimate ongoing reasons for an embargo to be extended they should contact eprints@soton.ac.uk to request an extension. The student will be informed and will have a right to reply to this request. Any disputes relating to embargo extensions will be managed through the Doctoral College.

Research Data

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

All researchers are required to follow the [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, paragraph 13.7 of the [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 with the Library Research Data team. Data cannot remain on the student's 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.

Faculty Director of the Graduate School

The Faculty Director of the Graduate School should review and if in agreement, approve the embargo for a thesis requested by the student. The Permission to Deposit Thesis Form and the final thesis should be submitted 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 on request.

Restricted access (thesis embargo)

The University of Southampton and UKRI expect that theses are openly available as early as possible. The minimum requirement for students funded by UKRI Councils is that "... a full text version should be available no longer than 12 months following award of the doctorate." ([UKRI Training Grants: Standard Terms and Conditions of Training Grant, TGC 11.5](#)) and "In the case of doctoral theses funded by the Councils, metadata describing the thesis should be lodged in the institution's repository as soon as possible after award." ([UKRI Training Grants: Guidance, TGC 11](#)).

Partnership agreements for research projects that involve commercial partners or other third-party collaborations may include clauses that set out potential restrictions and embargoes on the publication or other use of data from the project, during and after it has been completed. 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 the Faculty Graduate School Subcommittee, where such restriction is regarded as desirable on commercial grounds, pending publications or patent applications, or as necessary to maintain confidentiality, student safety or national security. 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 (or twelve months for pending publications). The period of restriction may be subject to extension in some circumstances and will require the approval of the Director of the Doctoral College. The period of extension may not exceed one year in duration.

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 [Regulations for Research Degrees](#) and the [Code of Practice for Research Degree Candidature and Supervision](#) or the [Research Data Management Policy](#).

Doctoral College (Faculty) Team

On receipt of the student's final thesis, the Doctoral College (Faculty) Team should:

- Check that the thesis file:
 - Is a PDF (with PDF/A-3 required) document that opens
 - Has the Copyright Declaration at the front and is not included in the page numbering
 - Includes the Declaration of Authorship but that this is unsigned
- Upload the thesis file and Permission to Deposit Form 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 contract or patent pending have been attached
- Check that permissions to include third party copyright materials are attached to the Permission

to Deposit Thesis Form.

Embargoed theses are held securely and are not available to access until the period has ended.

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. They should do this no later than 20 working days before the embargo ends. Advice and information will be collected from the Doctoral College (Faculty) Team 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 a decision.

Document Information	
Author	Quality Standards and Accreditation Team
Owner (committee)	Academic Quality and Standards Subcommittee
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Type of Document	Guidance