

Permission to Deposit Thesis

Please submit one softbound copy and an electronic copy of your thesis to your Faculty Graduate School Administration Team

Please complete all sections of this form. Print out one copy, sign it and hand it in to the Faculty Student Office with one printed softbound copy of your thesis, an additional title and abstract page and the electronic copy of your thesis. The softbound copy of your thesis is for the Library.

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

Covered Work

I submit my thesis for storage in the University of Southampton Library and for deposit in the University of Southampton institutional repository. I understand that it is optional for me to upload research data that supports my thesis [*See note 3*]. When I deposit my thesis and/or research data (if any), whether personally or through an assistant or other agent, I agree to the following:

Copyright

The copyright in a thesis submitted for a higher degree remains with me (the candidate) unless otherwise stipulated in any agreement with the sponsor/co-sponsor. The copyright (if any) in any research data I submit with my thesis may already be owned by the University under its Intellectual Property Regulations but if not, then to the extent that copyright subsists in the data, I will remain the copyright owner unless otherwise stipulated in any agreement with the sponsor/co-sponsor. If, however, I have included material that is not entirely of my own creation, e.g. if it is a sponsor/co-sponsor's confidential information, is reproduced from a book, a journal or other published source copies of photographs, drawings, diagrams, data or graphs, then clearance has been obtained from the copyright holder or owner before making copies and I have attached permissions to this form. Further I confirm where a sponsor/co-sponsor has been involved all necessary permissions to publish are in place. [*See note 1*]

Non-exclusive Rights

Rights granted to the University of Southampton through this agreement are entirely non-exclusive and free from any royalty. I am free to publish the thesis in its present version or future versions elsewhere. I agree that University of Southampton may, without changing content, translate the thesis and/or research data to any medium or format for the purpose of secure storage or preservation.

Deposit into the institutional repository

I understand that the metadata including the abstract of the thesis deposited in the institutional repository will be available immediately. According to my wishes below, the full text of the thesis and accompanying research data (where applicable) will be made available immediately after any stated embargo period and will be accessible to a wide variety of people and institutions - including automated agents - via the World Wide Web. I also agree and understand that any accompanying research data I deposit will be used by the University as set out in its Research Data Management Policy.

From April 2017 all e-theses will require the copyright statement (shown in italics below), to be included in the electronic version submitted as it will no longer be possible for the coversheet to be added later. The thesis templates on the library website include this statement, but earlier versions did not. Please check prior to submission that your e-thesis contains this statement. If not, it should be added before creating the final pdf version at the front. Guidance on how to do this can be found

on the [library website](#). Note that this is **only** a requirement for your e-thesis, the copyright statement is required for the printed version of your thesis.

University of Southampton Thesis License I understand that the following license will be linked in the metadata, and I must include it as a front page of the thesis:

Copyright © and Moral Rights for this thesis and, where applicable, any accompanying data are retained by the author and/or other copyright owners. A copy can be downloaded for personal non-commercial research or study, without prior permission or charge. This thesis and the accompanying data cannot be reproduced or quoted extensively from without first obtaining permission in writing from the copyright holder/s. The content of the thesis and accompanying research data (where applicable) must not be changed in any way or sold commercially in any format or medium without the formal permission of the copyright holder/s.

When referring to this thesis and any accompanying data, full bibliographic details must be given, e.g.

Thesis: Author (Year of Submission) "Full thesis title", University of Southampton, name of the University Faculty or School or Department, PhD Thesis, pagination.

Data: Author (Year) Title. URI [dataset]

Research Student to complete:

I understand that once the thesis and accompanying research data (if any) are deposited, a citation to both the thesis and research data will always remain visible.

I agree as follows:

1. that I have the authority to make this agreement, and to hereby give the University of Southampton the right to make the thesis and research data (if any) available in the way described above;
2. that any errors or omissions in the content of the thesis and research data (if any) will be my responsibility as the author;
3. that I have exercised reasonable care to ensure that the thesis is original, and to the best of my knowledge, neither it nor the research data (where deposited) infringe upon anyone's rights, including copyright and related rights;
4. that my research was not sponsored/part-sponsored by or carried out in collaboration with an industrial or other organisation or if it was then their written permission to publish the thesis and research data (if any) is attached to this permission;
5. that the thesis and research data (if any) do not include confidential information belonging to another individual or organisation or if it does then their written permission for its publication is attached to this permission.

PRINT NAME
DATE

SIGNATURE

TITLE OF THESIS

Preferred access for my thesis

Please note: a thesis which has an embargo on the e-version, for whatever reason, will not be available for inter-library loan to other scholars, even if the print version is not embargoed.

- ☐ Print copy available in the Library; immediately available electronically via the institutional repository.
- ☐ Print copy and electronic copy of the thesis to be made available after an embargo of months. I understand that both formats of my thesis will be made available after this time and I will contact the University if I require an extension of this embargo. *[see Note 2]*.

Reason for embargo:

- ☐ Commercial contract
- ☐ Patent pending
- ☐ Ethical considerations/data protection
- ☐ Other: [Please state]

-
- ☐ Print copy to be made available immediately. Electronic copy to be made available after an embargo of months. I understand that the electronic copy of my thesis will be made available after this time and I will contact the University if I require an extension of this embargo *[see Note 2]*.

Reason for embargo:

- ☐ Third party copyright
- ☐ Publication pending
- ☐ Other: [Please state]

Preferred access for my research data (optional)

- ☐ Immediately available via the institutional repository
- ☐ Made available after an embargo of months.

Reason for embargo [Please state]:

Academic Signatories to complete *[see Note 2]:*

Main supervisor

I confirm the following:

1. there is no industrial or other individual/organisation whose permission is required prior to publication of this thesis and any supporting data on the institutional repository by virtue of their sponsoring or supporting the research, or
2. where any industrial or other individual/organisation's permission prior to publication is required then this has been obtained and a copy is attached to this permission.
3. the student's preferred access for their thesis, research data (if any) and any embargos requested are appropriate.

PRINT NAME

SIGNATURE

DATE

TITLE OF THESIS

Head/Director of the Faculty Graduate School

I confirm the student's preferred access for their thesis, research data (if any) and any embargos requested are appropriate.

PRINT NAME

SIGNATURE

DATE

TITLE OF THESIS

Notes

1. Third Party Copyright Material

Copies of the permissions for the inclusion of third party copyright material should be attached to this form.

While you are being asked to make 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.

If it has not been possible to obtain permission, please discuss with your supervisors the possibility of moving the copyright material to an appendix (which will then be excluded from the main e-thesis) or removing this from the thesis.

The integrity of your thesis must not be affected by these steps. If this is not possible, then the e-thesis may need to be embargoed.

2. Embargos

University regulations¹ state that *"In exceptional circumstances access to a thesis may be restricted by the relevant Faculty Programmes Committee/ERDC, on behalf of Senate, 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 relevant Faculty Programmes Committee/ ERDC but shall normally not exceed three years from the date of examination."* You and your supervisor should discuss any embargo period at an early stage so that after the viva, and when any corrections have been completed, your supervisor can enter the agreed embargo period on the 'Permission to Deposit' form and sign the form. The form should then be referred to the Head/Director of the Faculty Graduate School for signature on behalf of the Faculty Programmes Committee. All agreed embargos should be reported to the Faculty Programmes Committee for noting and thereafter reported to the Library. The Library is responsible for maintaining a master list of embargoed theses on behalf of the University.

It is recognised that there may be exceptional circumstances arising where 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.

Accordingly, embargos on the electronic and print e-theses may be requested (and complied with) for the following reasons:

- a. **Commercial Contract**
The contract with a sponsor states that the research must remain confidential for a given number of years.
- b. **Patent Pending**
The University or a sponsor has lodged or intends to imminently 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.
- c. **Ethical Considerations/data protection**
This will usually have been considered when the research proposal was being considered by the ethics committee.
- d. **Other**
This needs to be a substantial reason and will depend on the type of research undertaken. In other words this reason must be justifiable to demonstrate that an embargo outweighs the public interest in access to the research.

¹ Paragraph 32 of the 'Regulations for the degrees of Master of Philosophy and Doctor of Philosophy'

Embargos on the e-theses only (the print version being available immediately) may be requested for the following reasons:

a) Third-party Copyright

The electronic copy of the e-theses containing un-cleared third party copyright material 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 Note 1.

b) Publication Pending

Some publishers consider publicly available electronic theses as prior publications. If you have not finished publishing from the thesis, you may request that the electronic thesis is embargoed.

c) Other

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

In some cases it may be suitable to move material to an appendix and embargo the appendix of the thesis, therefore allowing access to the main body of the thesis.

3. Research Data

You may deposit research data associated with and/or underpinning assertions within a thesis as a separate deposit in the institutional repository where this may facilitate a fuller description than might be permitted within the thesis record².

Your data should be deposited in agreement with your supervisor. Timing of the deposit and its release should also be agreed.

You will be able to incorporate links in your thesis to the underlying data, where appropriate, by creating a data record in advance. Adding data to your work area in the institutional research repository will create the record and necessary URI for inclusion in your thesis.

Data held in your work area are not publically available. At the appropriate time the data and/or data record can be made public as previously agreed with your supervisor.

Prior to deposit it is essential to consider whether there are any reasons that might require that access to your data is restricted in the short or longer-term. Reasons might include ethical, privacy, confidentiality requirements (including compliance with ethics approval and participant consent given); any legal, regulatory or funding restrictions; IPR ownership or commercial potential. You should ensure that you have permission to deposit data derived from third party data sources.

For further information, please see the University of Southampton Research Data Management Policy³ and associated guidance.

4. Notes for Faculty Student and Academic Administration staff

This form should be returned to the Library.

² Please contact epprints@soton.ac.uk for guidance if you have large files as this may impact on speed of upload and storage options.

³ University of Southampton Research Data Management Policy <http://www.calendar.soton.ac.uk/sectionIV/research-data-management.html>